



**Office of Secretary of State
State of Missouri**

Rebecca McDowell Cook
Secretary of State

Budget Request — FY 1998

Reprinted with Governor's Recommendations

ORGANIZATION SUMMARY
FORM 1A

GOVERNOR
PAGE
DATE 01/17/97

SECRETARY OF STATE 23100

ORGANIZATION /	PRIOR YEAR EXPENDITURE EXPENDITURE	FTE FTE	CURRENT YEAR EXPENDITURE EXPENDITURE	FTE FTE	BUDGET REQUEST AMOUNT AMOUNT	FTE FTE	GOV RECOMMENDS AMOUNT AMOUNT	FTE FTE
OFFICE OF SECRETARY OF STATE								
SEC OF STATE-ADMIN SERVICES	4,100,512	21.43	1,373,420	28.50	5,277,764	33.50	5,286,906	33.50
SEC OF STATE-ELECTIONS	210,866	4.51	222,380	5.25	253,776	6.25	255,643	6.25
SEC OF STATE-STATE ARCHIVES	2,146,791	65.76	2,469,103	65.50	2,372,615	67.50	2,391,603	67.50
SEC OF STATE-BUSINESS SERVICE	1,526,221	60.61	1,621,640	63.35	1,685,817	67.85	1,702,044	67.85
SEC OF STATE-STAFF SERVICES	1,187,005	21.59	3,524,865	21.50	1,062,926	21.50	1,067,441	21.50
SEC OF STATE-SECURITIES	586,348	17.47	691,635	18.00	839,927	20.50	846,342	20.50
TOTAL	9,757,743	191.37	9,903,043	202.10	11,492,825	217.10	11,549,979	217.10
LOCAL RECORDS GRANTS	445,667		500,000		400,000		400,000	
TOTAL	445,667		500,000		400,000		400,000	
SEC OF STATE-REFUNDS	5,318,926		5,400,000		5,400,000		5,400,000	
TOTAL	5,318,926		5,400,000		5,400,000		5,400,000	
ELECTIONS-PUBLIC NOTICE	74,794		500,000		100,000		100,000	
TOTAL	74,794		500,000		100,000		100,000	

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ORGANIZATION /

	PRIOR YEAR EXPENDITURE EXPENDITURE	FTE FTE	CURRENT YEAR EXPENDITURE EXPENDITURE	FTE FTE	BUDGET REQUEST AMOUNT FTE	GOV RECOMMENDS AMOUNT FTE
STATE LIBRARY						
STATE LIBRARY OPERATIONS	1,338,920	30.08	1,548,365	35.80	1,651,505	35.80
STATE LIBRARY OPERATIONS						
STATE AID FOR PUBLIC LIBRARY	1,964,448		1,964,448		4,673,126	2,160,893
FEDERAL AID FOR PUBLIC LIBRA	1,388,205		2,965,770		2,965,770	2,965,770
WOLFNER LIBRARY	548,475	18.33	688,932	18.50	700,731	23.00
LIFT LITERACY PROGRAM	94,607		230,961		69,450	69,450
TOTAL	5,334,655	48.41	7,398,476	54.30	10,060,582	58.80

GRAND TOTAL	20,931,785	239.78	23,701,519	256.40	27,453,407	275.90	25,015,822	275.90
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SOURCE OF FUND SUMMARY

GENERAL REVENUE	15,067,650	204.30	15,741,395	213.06	19,143,060	224.76	16,691,225	224.76
FEDERAL REVENUE	1,821,775	9.92	3,729,287	15.10	3,649,391	19.40	3,654,529	19.40
TECHNOLOGY TRUS	2,662,196	.89	2,503,624	2.00	2,999,240	2.00	3,000,000	2.00
LOCAL RECORDS	1,287,122	23.76	1,509,953	25.24	1,328,426	26.24	1,336,495	26.24
INVESTOR EDUC					50,000		50,000	
SEC ST-WOLFNER			75,000		75,000		75,000	
SEC ST INSTIT	93,042	.91	142,260	1.00	208,290	3.50	208,573	3.50
GRAND TOTAL	20,931,785	239.78	23,701,519	256.40	27,453,407	275.90	25,015,822	275.90

BUDGET CLASS SUMMARY
FORM 1B

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BUD CLS/ FUND	PRIOR YEAR EXPENDITURE	YEAR FTE	CURRENT YEAR EXPENDITURE	YEAR FTE	BUDGET REQUEST AMOUNT	FTE	GOVERNOR RECOMMENDS AMOUNT	FTE
PERSONAL SERVICE								
GENERAL REVENUE	4,691,594	204.30	5,093,971	213.06	5,604,629	224.76	5,665,027	224.76
FEDERAL	273,783	9.92	424,432	15.10	506,047	19.40	511,185	19.40
TECHNOLOGY TRUS	25,952	.89	64,024	2.00	66,584	2.00	67,344	2.00
LOCAL RECORDS	604,206	23.76	655,521	25.24	714,263	26.24	722,332	26.24
SEC ST INSTIT	17,886	.91	22,260	1.00	94,826	3.50	95,109	3.50
TOTAL	5,613,421	239.78	6,260,208	256.40	6,986,349	275.90	7,060,997	275.90
EXPENSE AND EQUIPMENT								
GENERAL REVENUE	3,092,682		3,142,976		3,325,305		3,325,305	
FEDERAL	159,787		179,085		177,574		177,574	
TECHNOLOGY TRUS			2,439,600		2,932,656		2,932,656	
LOCAL RECORDS	237,249		354,432		214,163		214,163	
SEC ST-WOLFNER			75,000		75,000		75,000	
SEC ST INSTIT	75,156		70,000		113,464		113,464	
TOTAL	3,564,874		6,261,093		6,838,162		6,838,162	
TOTAL OPERATING BY FUND								
GENERAL REVENUE	7,784,276		8,236,947		8,929,934		8,990,332	
FEDERAL	433,570		603,517		683,621		688,759	
ALL OTHER	960,449		3,680,837		4,210,956		4,220,068	
TOTAL	9,178,295		12,521,301		13,824,511		13,899,159	

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BUD CLS/ FUND	PRIOR YEAR		CURRENT YEAR		BUDGET REQUEST		GOVERNOR RECOMMENDS	
	EXPENDITURE	FTE	EXPENDITURE	FTE	AMOUNT	FTE	AMOUNT	FTE
PROGRAM SPECIFIC								
GENERAL REVENUE	7,283,374		7,504,448		10,213,126		7,700,893	
FEDERAL	1,388,205		3,125,770		2,965,770		2,965,770	
TECHNOLOGY TRUS	2,636,244							
LOCAL RECORDS	445,667		500,000		400,000		400,000	
INVESTOR EDUC					50,000		50,000	
SEC ST INSTIT			50,000					
TOTAL	11,753,490		11,180,218		13,628,896		11,116,663	
SOURCE OF FUND SUMMARY								
GENERAL REVENUE	15,067,650	204.30	15,741,395	213.06	19,143,060	224.76	16,691,225	224.76
FEDERAL	1,821,775	9.92	3,729,287	15.10	3,649,391	19.40	3,654,529	19.40
ALL OTHER	4,042,360	25.56	4,230,837	28.24	4,660,956	31.74	4,670,068	31.74
GRAND TOTAL	20,931,785	239.78	23,701,519	256.40	27,453,407	275.90	25,015,822	275.90

**DECISION ITEM RANKING
FORM 2**

**GOVERNOR
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DECISION ITEM RANK/NUMBER	ORGANIZATION/ DECISION ITEM NAME	BUDGET PAGE	FUND	DECISION ITEM AMOUNT	REQUEST FTE	GOVERNOR RECOMMENDS AMOUNT	FTE	CUMULATIVE DECISION ITEMS
1/001	SEC OF STATE-ADMIN SERVICES CORE REQUEST		GENERAL REVENUE	1,426,161	26.50	1,434,543	26.50	1,434,543
			TECHNOLOGY TRUS	2,503,624	2.00	2,504,384	2.00	2,504,384
			TOTAL	3,929,785	28.50	3,938,927	28.50	3,938,927
=====								
1/002	SEC OF STATE-ELECTIONS CORE REQUEST		GENERAL REVENUE	218,389	5.25	220,256	5.25	1,654,799
			TOTAL	218,389	5.25	220,256	5.25	4,159,183
=====								
1/003	SEC OF STATE-BUSINESS SERVICES CORE REQUEST		GENERAL REVENUE	1,543,810	63.35	1,560,037	63.35	3,214,836
			TOTAL	1,543,810	63.35	1,560,037	63.35	5,719,220
=====								
1/004	SEC OF STATE-STAFF SERVICES CORE REQUEST		GENERAL REVENUE	1,036,646	21.50	1,044,506	21.50	4,259,342
			TOTAL	1,036,646	21.50	1,044,506	21.50	6,763,726
=====								
1/005	LOCAL RECORDS GRANTS CORE REQUEST		LOCAL RECORDS	400,000		400,000		2,904,384
			TOTAL	400,000		400,000		7,163,726
=====								
1/006	SEC OF STATE-REFUNDS CORE REQUEST		GENERAL REVENUE	5,400,000		5,400,000		9,659,342
			TOTAL	5,400,000		5,400,000		12,563,726
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DECISION ITEM RANK/NUMBER	ORGANIZATION/ DECISION ITEM NAME	BUDGET PAGE	FUND	DECISION ITEM AMOUNT	REQUEST FTE	GOVERNOR AMOUNT	RECOMMENDS FTE	CUMULATIVE DECISION ITEMS
1/007	ELECTIONS-PUBLIC NOTICE CORE REQUEST		GENERAL REVENUE	100,000		100,000		9,759,342
			TOTAL	100,000		100,000		12,663,726
1/009	STATE LIBRARY OPERATIONS CORE REQUEST		GENERAL REVENUE	990,359	20.90	997,529	20.90	10,756,871
			FEDERAL	558,006	14.90	563,144	14.90	563,144
			TOTAL	1,548,365	35.80	1,560,673	35.80	14,224,399
1/010	STATE AID FOR PUBLIC LIBRARY CORE REQUEST		GENERAL REVENUE	1,964,448		1,964,448		12,721,319
			TOTAL	1,964,448		1,964,448		16,188,847
1/011	FEDERAL AID FOR PUBLIC LIBRARY CORE REQUEST		FEDERAL	2,965,770		2,965,770		3,528,914
			TOTAL	2,965,770		2,965,770		19,154,617
1/012	WOLFNER LIBRARY CORE REQUEST		GENERAL REVENUE	500,788	18.50	505,974	18.50	13,227,293
			FEDERAL	44,000		44,000		3,572,914
			SEC ST-WOLFNER	75,000		75,000		2,979,384
			TOTAL	619,788	18.50	624,974	18.50	19,779,591
1/013	LIFT LITERACY PROGRAM CORE REQUEST		GENERAL REVENUE	69,450		69,450		13,296,743
			TOTAL	69,450		69,450		19,849,041

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DECISION ITEM RANK/NUMBER	ORGANIZATION/ DECISION ITEM NAME	BUDGET PAGE	FUND	DECISION ITEM AMOUNT	REQUEST FTE	GOVERNOR RECOMMENDS AMOUNT	FTE	CUMULATIVE DECISION ITEMS
1/014	SEC OF STATE-STATE ARCHIVES CORE REQUEST		GENERAL REVENUE	1,282,013	40.26	1,292,932	40.26	14,589,675
			LOCAL RECORDS	863,894	25.24	871,963	25.24	3,851,347
			TOTAL	2,145,907	65.50	2,164,895	65.50	22,013,936
=====								
1/015	SEC OF STATE-SECURITIES CORE REQUEST		GENERAL REVENUE	561,187	17.00	567,319	17.00	15,156,994
			INVESTOR EDUC SEC ST INSTIT	50,000 92,260	1.00	50,000 92,543	1.00	3,901,347 3,993,890
			TOTAL	703,447	18.00	709,862	18.00	22,723,798
=====								
2/016	SEC OF STATE-ADMIN SERVICES WITHIN GRADE		GENERAL REVENUE	27,170		27,170		15,184,164
			TECHNOLOGY TRUS	2,560		2,560		3,996,450
			TOTAL	29,730		29,730		22,753,528
=====								
2/017	SEC OF STATE-ELECTIONS WITHIN GRADE		GENERAL REVENUE	6,207		6,207		15,190,371
			TOTAL	6,207		6,207		22,759,735
=====								
2/018	SEC OF STATE-STATE ARCHIVES WITHIN GRADE		GENERAL REVENUE	34,012		34,012		15,224,383
			LOCAL RECORDS	26,222		26,222		4,022,672
			TOTAL	60,234		60,234		22,819,969
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2/019	SEC OF STATE-BUSINESS SERVICES WITHIN GRADE		GENERAL REVENUE	49,702		49,702		15,274,085
			TOTAL	49,702		49,702		22,869,671
				=====	=====	=====	=====	=====
2/020	SEC OF STATE-STAFF SERVICES WITHIN GRADE		GENERAL REVENUE	26,280		22,935		15,297,020
			TOTAL	26,280		22,935		22,892,606
				=====	=====	=====	=====	=====
2/021	SEC OF STATE-SECURITIES WITHIN GRADE		GENERAL REVENUE	20,450		20,450		15,317,470
			SEC ST INSTIT	890		890		4,023,562
			TOTAL	21,340		21,340		22,913,946
				=====	=====	=====	=====	=====
2/022	STATE LIBRARY OPERATIONS WITHIN GRADE		GENERAL REVENUE	23,663		23,663		15,341,133
			FEDERAL	16,977		16,977		3,589,891
			TOTAL	40,640		40,640		22,954,586
				=====	=====	=====	=====	=====
2/023	WOLFNER LIBRARY WITHIN GRADE		GENERAL REVENUE	16,305		16,305		15,357,438
			TOTAL	16,305		16,305		22,970,891
				=====	=====	=====	=====	=====
3/024	SEC OF STATE-ADMIN SERVICES OFFICIAL MANUAL		GENERAL REVENUE	600,000		600,000		15,957,438
			TOTAL	600,000		600,000		23,570,891
				=====	=====	=====	=====	=====

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DECISION ITEM RANK/NUMBER	ORGANIZATION/ DECISION ITEM NAME	BUDGET PAGE	FUND	DECISION ITEM AMOUNT	REQUEST FTE	GOVERNOR AMOUNT	RECOMMENDS FTE	CUMULATIVE DECISION ITEMS
3/025	SEC OF STATE-ELECTIONS TERM LIMITS MONITORING		GENERAL REVENUE	29,180	1.00	29,180	1.00	15,986,618
			TOTAL	29,180	1.00	29,180	1.00	23,600,071
				=====	=====	=====	=====	=====
3/026	SEC OF STATE-BUSINESS SERVICES ATHLETE AGENT REGISTRATION		GENERAL REVENUE	13,693	.50	13,693	.50	16,000,311
			TOTAL	13,693	.50	13,693	.50	23,613,764
				=====	=====	=====	=====	=====
3/027	SEC OF STATE-BUSINESS SERVICES CORPORATE COUNSEL		GENERAL REVENUE	35,520	1.00	35,520	1.00	16,035,831
			TOTAL	35,520	1.00	35,520	1.00	23,649,284
				=====	=====	=====	=====	=====
4/028	SEC OF STATE-BUSINESS SERVICES ANNUAL REPORTS CLERKS		GENERAL REVENUE	43,092	3.00	43,092	3.00	16,078,923
			TOTAL	43,092	3.00	43,092	3.00	23,692,376
				=====	=====	=====	=====	=====
4/030	WOLFNER LIBRARY LIBRARY CIRCULATION CLERKS		FEDERAL	64,638	4.50	64,638	4.50	3,654,529
			TOTAL	64,638	4.50	64,638	4.50	23,757,014
				=====	=====	=====	=====	=====
5/031	SEC OF STATE-ADMIN SERVICES INFORMATION TECHNOLOGY FTE		GENERAL REVENUE	202,950	5.00	202,950	5.00	16,281,873
			TECHNOLOGY TRUS	493,056		493,056		4,516,618
			TOTAL	696,006	5.00	696,006	5.00	24,453,020
				=====	=====	=====	=====	=====

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DECISION ITEM RANK/NUMBER	ORGANIZATION/ DECISION ITEM NAME	BUDGET PAGE	FUND	DECISION ITEM AMOUNT	REQUEST FTE	GOVERNOR RECOMMENDS AMOUNT FTE	CUMULATIVE DECISION ITEMS
5/032	STATE AID FOR PUBLIC LIBRARY INCREASE STATE AID TO LIBRARY		GENERAL REVENUE	2,708,678		196,445	16,478,318
			TOTAL	2,708,678		196,445	24,649,465
6/033	SEC OF STATE-STATE ARCHIVES LOCAL RECORDS ARCHIVIST		LOCAL RECORDS	38,310	1.00	38,310 1.00	4,554,928
			TOTAL	38,310	1.00	38,310 1.00	24,687,775
6/034	SEC OF STATE-STATE ARCHIVES ARCHIVES ARCHIVIST		GENERAL REVENUE	31,314	1.00	31,314 1.00	16,509,632
			TOTAL	31,314	1.00	31,314 1.00	24,719,089
6/035	SEC OF STATE-STATE ARCHIVES RECORDS MNGMT USED FORKLIFT		GENERAL REVENUE	28,300		28,300	16,537,932
			TOTAL	28,300		28,300	24,747,389
6/036	SEC OF STATE-STATE ARCHIVES RECORDS CENTER SHELIVING		GENERAL REVENUE	65,550		65,550	16,603,482
			TOTAL	65,550		65,550	24,812,939
6/037	SEC OF STATE-STATE ARCHIVES RECORDS MNGMT DENSITOMETER		GENERAL REVENUE	3,000		3,000	16,606,482
			TOTAL	3,000		3,000	24,815,939

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7/038	STATE LIBRARY OPERATIONS MARCIVE INDEXING SYSTEM		GENERAL REVENUE	22,500		22,500		16,628,982
			TOTAL	22,500		22,500		24,838,439
				=====	=====	=====	=====	=====
7/039	STATE LIBRARY OPERATIONS SUMMER READING PROGRAM		GENERAL REVENUE	23,000		23,000		16,651,982
			TOTAL	23,000		23,000		24,861,439
				=====	=====	=====	=====	=====
7/040	STATE LIBRARY OPERATIONS LITERACY PROGRAMS		GENERAL REVENUE	17,000		17,000		16,668,982
			TOTAL	17,000		17,000		24,878,439
				=====	=====	=====	=====	=====
8/041	SEC OF STATE-ADMIN SERVICES POSTAGE METERING MACHINE		GENERAL REVENUE	22,243		22,243		16,691,225
			TOTAL	22,243		22,243		24,900,682
				=====	=====	=====	=====	=====
8/042	SEC OF STATE-SECURITIES SECURITIES EXAMINATION UNIT		SEC ST INSTIT	115,140	2.50	115,140	2.50	4,670,068
			TOTAL	115,140	2.50	115,140	2.50	25,015,822
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PERSONAL SERVICE SUMMARY
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ORGANIZATION	BUDGET YEAR ADJUSTMENTS		BUDGET YEAR ADJUSTMENTS		BUDGET YEAR ADJUSTMENTS		BUDGET REQUEST AMOUNT/FTE	GOV RECOMMENDS AMOUNT/FTE
	PRIOR YEAR EXP/FTE	CURRENT YEAR EXP/FTE	COST OF LIVING	FLEXIBLE BENEFIT	SALARY ADJUSTMENTS	NEW POSITIONS AMOUNT/FTE		
OFFICE OF SECRETARY OF STATE								
SEC OF STATE-ADMIN SERVICES								
	573,920	744,410	7,432	1,710	29,730	174,000	946,972	956,114
	21.43	28.50				5.00	33.50	33.50
SEC OF STATE-ELECTIONS								
	132,076	159,236	1,552	315	6,207	20,000	181,379	183,246
	4.51	5.25				1.00	6.25	6.25
SEC OF STATE-STATE ARCHIVES								
	1,456,214	1,500,691	15,058	3,930	60,234	58,044	1,624,147	1,643,135
	65.76	65.50				2.00	67.50	67.50
SEC OF STATE-BUSINESS SERVICE								
	1,153,585	1,242,618	12,426	3,801	49,702	86,580	1,378,832	1,395,059
	60.61	63.35				4.50	67.85	67.85
SEC OF STATE-STAFF SERVICES								
	656,209	675,257	6,570	1,290	22,935		683,286	687,801
	21.59	21.50					21.50	21.50
SEC OF STATE-SECURITIES								
	473,708	515,135	5,335	1,080	21,340	71,676	626,524	632,939
	17.47	18.00				2.50	20.50	20.50
TOTAL								
	4,445,712	4,837,347	48,373	12,126	190,148	410,300	5,441,140	5,498,294
	191.37	202.10				15.00	217.10	217.10
STATE LIBRARY								
STATE LIBRARY OPERATIONS								
	789,284	1,016,010	10,160	2,148	40,640		1,056,650	1,068,958
	30.08	35.80					35.80	35.80
WOLFNER LIBRARY								
	378,425	406,851	4,076	1,110	16,305	64,638	488,559	493,745
	18.33	18.50				4.50	23.00	23.00

PERSONAL SERVICE SUMMARY
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ORGANIZATION	BUDGET YEAR ADJUSTMENTS								
PRIOR YEAR EXP/FTE	CURRENT YEAR EXP/FTE	COST OF LIVING	FLEXIBLE BENEFIT	SALARY ADJUSTMENTS	NEW POSITIONS AMOUNT/FTE	BUDGET REQUEST AMOUNT/FTE	GOV RECOMMENDS AMOUNT/FTE		
TOTAL									
1,167,709	1,422,861	14,236	3,258	56,945	64,638	1,545,209	1,562,703		
48.41	54.30				4.50	58.80	58.80		
GRAND TOTAL									
5,613,421	6,260,208	62,609	15,384	247,093	474,938	6,986,349	7,060,997		
239.78	256.40				19.50	275.90	275.90		
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SOURCE OF FUND SUMMARY									
GENERAL REVENUE									
4,691,594	5,093,971	50,947	12,796	200,444	306,104	5,604,629	5,665,027		
FEDERAL REVENUE									
273,783	424,432	4,244	894	16,977	64,638	506,047	511,185		
TECHNOLOGY TRUS									
25,952	64,024	640	120	2,560		66,584	67,344		
LOCAL RECORDS									
604,206	655,521	6,555	1,514	26,222	32,520	714,263	722,332		
SEC ST INSTIT									
17,886	22,260	223	60	890	71,676	94,826	95,109		
GRAND TOTAL									
5,613,421	6,260,208	62,609	15,384	247,093	474,938	6,986,349	7,060,997		
239.78	256.40				19.50	275.90	275.90		
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	ORG NO. 23140	ORG NO. 23155	ORG NO. 23158	ORG NO. 23165	TOTAL
PERSONAL SERVICES							
GENERAL REVENUE	4,691,594	5,093,971	880,388	181,379	909,884	1,378,832	
			<888,770 >	<183,246 >	<920,803 >	<1,395,059 >	
FEDERAL FUNDS	273,783	424,432					
TECHNOLOGY TRUS	25,952	64,024	66,584				
			<67,344 >				
LOCAL RECORDS	604,206	655,521			714,263		
					<722,332 >		
SEC ST INSTIT	17,886	22,260					
TOTAL	5,613,421	6,260,208	946,972	181,379	1,624,147	1,378,832	
			<956,114 >	<183,246 >	<1,643,135 >	<1,395,059 >	
EXPENSE AND EQUIPMENT							
GENERAL REVENUE	3,092,682	3,142,976	1,398,136	72,397	534,305	306,985	
			<1,398,136 >	<72,397 >	<534,305 >	<306,985 >	
FEDERAL FUNDS	159,787	179,085					
TECHNOLOGY TRUS		2,439,600	2,932,656				
			<2,932,656 >				
LOCAL RECORDS	237,249	354,432			214,163		
					<214,163 >		
SEC ST-WOLFNER		75,000					
SEC ST INSTIT	75,156	70,000					
TOTAL	3,564,874	6,261,093	4,330,792	72,397	748,468	306,985	
			<4,330,792 >	<72,397 >	<748,468 >	<306,985 >	
PROGRAM SPECIFIC DIST							
GENERAL REVENUE	7,283,374	7,504,448					
FEDERAL FUNDS	1,388,205	3,125,770					
TECHNOLOGY TRUS	2,636,244						

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	PRIOR YEAR EXPENDITURES 445,667	CURRENT YEAR EXPENDITURES 500,000	ORG NO. 23140	ORG NO. 23155	ORG NO. 23158	ORG NO. 23165	TOTAL
LOCAL RECORDS							
SEC ST INSTIT		50,000					
TOTAL	11,753,490	11,180,218					
GRAND TOTAL	20,931,785	23,701,519	5,277,764 <5,286,906 >	253,776 <255,643 >	2,372,615 <2,391,603 >	1,685,817 <1,702,044 >	
SOURCE OF FUNDS SUMMARY							
GENERAL REVENUE	15,067,650	15,741,395	2,278,524 <2,286,906 >	253,776 <255,643 >	1,444,189 <1,455,108 >	1,685,817 <1,702,044 >	
FEDERAL FUNDS	1,821,775	3,729,287					
TECHNOLOGY TRUS	2,662,196	2,503,624	2,999,240 <3,000,000 >				
LOCAL RECORDS	1,287,122	1,509,953			928,426 <936,495 >		
SEC ST-WOLFNER		75,000					
SEC ST INSTIT	93,042	142,260					
NO. EMPLOYEE FTES	239.78	256.40	33.50 <33.50>	6.25 <6.25>	67.50 <67.50>	67.85 <67.85>	

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	ORG NO. 23175	ORG NO. 23178	ORG NO. 23181	ORG NO. 23188	TOTAL
PERSONAL SERVICES							
GENERAL REVENUE			683,286	531,698			
			<687,801 >	<537,830 >			
TECHNOLOGY TRUS							
SEC ST INSTIT				94,826			
				<95,109 >			
TOTAL			683,286	626,524			
			<687,801 >	<632,939 >			
EXPENSE AND EQUIPMENT							
GENERAL REVENUE			379,640	49,939			
			<379,640 >	<49,939 >			
TECHNOLOGY TRUS							
SEC ST INSTIT				113,464			
				<113,464 >			
TOTAL			379,640	163,403			
			<379,640 >	<163,403 >			
PROGRAM SPECIFIC DIST							
GENERAL REVENUE						5,400,000	
						<5,400,000 >	
LOCAL RECORDS					400,000		
					<400,000 >		
INMATE REIM REV							
INVESTOR EDUC				50,000			
				<50,000 >			
SEC ST INSTIT							
TOTAL				50,000	400,000	5,400,000	
				<50,000 >	<400,000 >	<5,400,000 >	
GRAND TOTAL			1,062,926	839,927	400,000	5,400,000	
			<1,067,441 >	<846,342 >	<400,000 >	<5,400,000 >	

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	ORG NO. 23175	ORG NO. 23178	ORG NO. 23181	ORG NO. 23188	TOTAL
SOURCE OF FUNDS SUMMARY							
GENERAL REVENUE			1,062,926 <1,067,441 >	581,637 <587,769 >		5,400,000 <5,400,000 >	
LOCAL RECORDS					400,000 <400,000 >		
INVESTOR EDUC				50,000 <50,000 >			
SEC ST INSTIT				208,290 <208,573 >			
NO. EMPLOYEE FTES			21.50 <21.50>	20.50 <20.50>			

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	ORG NO. 23189	ORG NO. 23418	ORG NO. 23500	ORG NO. 23505	TOTAL
PERSONAL SERVICES							
GENERAL REVENUE				615,241			
				<622,411 >			
FEDERAL FUNDS				441,409			
				<446,547 >			
TOTAL	-----	-----	-----	-----	-----	-----	-----
				1,056,650			
				<1,068,958 >			
EXPENSE AND EQUIPMENT							
GENERAL REVENUE				461,281			
				<461,281 >			
FEDERAL FUNDS				133,574			
				<133,574 >			
TOTAL	-----	-----	-----	-----	-----	-----	-----
				594,855			
				<594,855 >			
PROGRAM SPECIFIC DIST							
GENERAL REVENUE			100,000		4,673,126		
			<100,000 >		<2,160,893 >		
FEDERAL FUNDS						2,965,770	
						<2,965,770 >	
TOTAL	-----	-----	-----	-----	-----	-----	-----
			100,000		4,673,126	2,965,770	
			<100,000 >		<2,160,893 >	<2,965,770 >	
GRAND TOTAL			100,000	1,651,505	4,673,126	2,965,770	
	=====	=====	<100,000 >	<1,663,813 >	<2,160,893 >	<2,965,770 >	=====
SOURCE OF FUNDS SUMMARY							
GENERAL REVENUE			100,000	1,076,522	4,673,126		
			<100,000 >	<1,083,692 >	<2,160,893 >		
FEDERAL FUNDS				574,983		2,965,770	
				<580,121 >		<2,965,770 >	
NO. EMPLOYEE FTES				35.80			
				<35.80>			

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	ORG NO. 23508	ORG NO. 23713	ORG NO.	ORG NO.	TOTAL
PERSONAL SERVICES							
GENERAL REVENUE			423,921				5,604,629
			<429,107 >				<5,665,027 >
FEDERAL FUNDS			64,638				506,047
			<64,638 >				<511,185 >
TECHNOLOGY TRUS							66,584
							<67,344 >
LOCAL RECORDS							714,263
							<722,332 >
SEC ST INSTIT							94,826
							<95,109 >
TOTAL			488,559				6,986,349
			<493,745 >				<7,060,997 >
EXPENSE AND EQUIPMENT							
GENERAL REVENUE			93,172	29,450			3,325,305
			<93,172 >	<29,450 >			<3,325,305 >
FEDERAL FUNDS			44,000				177,574
			<44,000 >				<177,574 >
TECHNOLOGY TRUS							2,932,656
							<2,932,656 >
LOCAL RECORDS							214,163
							<214,163 >
SEC ST-WOLFNER			75,000				75,000
			<75,000 >				<75,000 >
SEC ST INSTIT							113,464
							<113,464 >
TOTAL			212,172	29,450			6,838,162
			<212,172 >	<29,450 >			<6,838,162 >
PROGRAM SPECIFIC DIST							
GENERAL REVENUE				40,000			10,213,126
				<40,000 >			<7,700,893 >
FEDERAL FUNDS							2,965,770
							<2,965,770 >
LOCAL RECORDS							400,000
							<400,000 >

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	ORG NO. 23508	ORG NO. 23713	ORG NO.	ORG NO.	TOTAL
INVESTOR EDUC							50,000 <50,000 >
TOTAL				40,000 <40,000 >			13,628,896 <11,116,663 >
GRAND TOTAL			700,731 <705,917 >	69,450 <69,450 >			27,453,407 <25,015,822 >
=====							
SOURCE OF FUNDS SUMMARY							
GENERAL REVENUE			517,093 <522,279 >	69,450 <69,450 >			19,143,060 <16,691,225 >
FEDERAL FUNDS			108,638 <108,638 >				3,649,391 <3,654,529 >
TECHNOLOGY TRUS							2,999,240 <3,000,000 >
LOCAL RECORDS							1,328,426 <1,336,495 >
INVESTOR EDUC							50,000 <50,000 >
SEC ST-WOLFNER			75,000 <75,000 >				75,000 <75,000 >
SEC ST INSTIT							208,290 <208,573 >
NO. EMPLOYEE FTES			23.00 <23.00>				275.90 <275.90>

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DECISION ITEM FINANCIAL SUMMARY
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	3 / 8 OFFICIAL MANUAL	5 / 8 INFORMATION TECH FTE	TOTAL
PERSONAL SERVICES							
GENERAL REVENUE	548,619	680,386	679,218 <687,600 >	27,170 <27,170 >		174,000 <174,000 >	
TECHNOLOGY TRUS	25,301	64,024	64,024 <64,784 >	2,560 <2,560 >			
TOTAL	573,920	744,410	743,242 <752,384 >	29,730 <29,730 >		174,000 <174,000 >	
EXPENSE AND EQUIPMENT							
GENERAL REVENUE	890,348	629,010	746,943 <746,943 >		600,000 <600,000 >	28,950 <28,950 >	
TECHNOLOGY TRUS			2,439,600 <2,439,600 >			493,056 <493,056 >	
TOTAL	890,348	629,010	3,186,543 <3,186,543 >		600,000 <600,000 >	522,006 <522,006 >	
PROGRAM SPECIFIC DIST							
TECHNOLOGY TRUS	2,636,244						
TOTAL	2,636,244						
GRAND TOTAL	4,100,512	1,373,420	3,929,785 <3,938,927 >	29,730 <29,730 >	600,000 <600,000 >	696,006 <696,006 >	
SOURCE OF FUNDS SUMMARY							
GENERAL REVENUE	1,438,967	1,309,396	1,426,161 <1,434,543 >	27,170 <27,170 >	600,000 <600,000 >	202,950 <202,950 >	
TECHNOLOGY TRUS	2,661,545	64,024	2,503,624 <2,504,384 >	2,560 <2,560 >		493,056 <493,056 >	
NO. EMPLOYEE FTES	21.43	28.50	28.50 <28.50>			5.00 <5.00>	

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	8 / 8 POSTAGE MET MACHINE	TOTAL
PERSONAL SERVICES				880,388
GENERAL REVENUE				<888,770 >
TECHNOLOGY TRUS				66,584
				<67,344 >
TOTAL				946,972
				<956,114 >
EXPENSE AND EQUIPMENT				
GENERAL REVENUE			22,243	1,398,136
			<22,243 >	<1,398,136 >
TECHNOLOGY TRUS				2,932,656
				<2,932,656 >
TOTAL			22,243	4,330,792
			<22,243 >	<4,330,792 >
GRAND TOTAL			22,243	5,277,764
			<22,243 >	<5,286,906 >
SOURCE OF FUNDS SUMMARY				
GENERAL REVENUE			22,243	2,278,524
			<22,243 >	<2,286,906 >
TECHNOLOGY TRUS				2,999,240
				<3,000,000 >
NO. EMPLOYEE FTES				33.50
				<33.50>

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DECISION ITEM RANK 001
 DECISION ITEM NO. 001 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE	680,386	679,218	687,600
TECHNOLOGY TRUS	64,024	64,024	64,784
TOTAL PERSONAL SERVICE	744,410	743,242	752,384
EXPENSE & EQUIPMENT			
GENERAL REVENUE	629,010	746,943	746,943
TECHNOLOGY TRUS		2,439,600	2,439,600
TOTAL EXPENSE & EQUIP	629,010	3,186,543	3,186,543
PROGRAM SPECIFIC DIST			
TOTAL PROGRAM SPECIFIC			
TOTAL DECISION ITEM	1,373,420	3,929,785	3,938,927
NO. EMPLOYEE FTE	28.50	28.50	28.50

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

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1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Administrative Services Department of the Office of the Secretary of State has identified five strategic issues and numerous goals that affect its core delivery of services. These include:

- A. Provide quality customer service (SOS strategic plan, page 9)
 - Deliver responsive and timely service to external and internal customers
 - Emphasize courtesy and mutual respect to all customers
 - Improve service delivery systems
- B. Enhance information access (SOS strategic plan, page 10)
 - Improve information services to enhance access to public information
 - Establish links to other information sources such as the Federal government, other state agencies, the business community, and libraries
 - Timely publication and circulation of state publications assigned to the Office of the Secretary of State
- C. Provide leadership and expertise in business and information systems. (SOS strategic plan, page 14)
 - Exercise leadership in state and local government to improve the quality of information services provided to citizens
 - Provide expertise on developing information systems to state government, local government, and libraries
- D. Effectively utilize information technology (SOS strategic plan, page 15)
 - Implement the Information Strategic Plan to acquire state of the art information technology to improve quality, productivity, and delivery of services
 - Upgrade automation of human resources functions
 - Maintain an office standard for automation
 - Improve employee technology skills
- E. Human resource management and development (SOS strategic plan, page 18)
 - Acquire and maintain the best mix of personnel skill sets for the operation of the Office of the Secretary of State
 - Identify personnel requirements to meet new or expanded mission requirements
 - Reward quality performance and professionalism
 - Establish a competitive compensation program

PROGRAM DECISION ITEM ANALYSIS FORM 5

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2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the continued operation of Department programs, which include:

- The publication of all government publications assigned to the Office of the Secretary of State. This includes editing, typesetting, layout and indexing, printing, graphic arts, and circulation of such publications as *The Official Manual*, *The Session Laws*, and *The General Assembly Roster*. This relates to strategic issues A, B, and D. Priority outcomes for FY98 include:
 - Timely and accurate publication and distribution of government publications
 - Developing more effective and efficient methods of publication
- Management of fiscal and human resources. This includes providing support for budgeting, purchasing, accounts payable, personnel administration, payroll, research, inventory and accountability of government property, and mailroom activities. This relates to strategic issues A, B, and D. Priority outcomes for FY98 include:
 - Establishing and maintaining the best mix of skill sets to support operations in the office
 - Upgrading automation of the personnel system
 - Automation of the inventory accountability system
- Support for information systems. This includes data processing, maintenance of EDP equipment, and planning for information technology implementation. This relates to strategic issues A, B, C, and D. Priority outcomes for FY98 include:
 - Continued implementation of the Information Strategic Plan
 - Management of EDP equipment inventory

PROGRAM DECISION ITEM ANALYSIS FORM 5

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3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? The Administrative Services Department has developed multiple goals and objectives in support of the identified strategic issues. The Office of the Secretary of State draft strategic plan provides additional information on those strategic issues. Selected high priority objectives include: Issue #1 - Provide quality customer service • Provide effective personnel and fiscal services that allow operational divisions to accomplish their duties • Provide information technology support to the entire office of the Secretary of State Issue #4 - Effectively utilize information technology • Continue implementation of the information strategic plan. • Upgrade the automation of the personnel system by June 30, 1998				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Percent completion of information strategic plan				
Completion of automation upgrade for personnel services				
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Pieces of mail handled by mailroom				
Personnel actions completed				
Purchase requisitions completed				

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6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Core budget request. There were no one-time costs in FY 1997. The \$4,000 core reduction was taken to reflect the fact that the Office of the Secretary of State is no longer responsible for the printing of the House and Senate journals. The funds required to print those items are being returned.

The following core transfers are for reorganization of the Office of the Secretary of State. The Administrative Rules Division is being moved to Staff Services due to the legal nature of its mission. A Computer Info Spec II position was transferred from Elections Department to Administrative Services. A clerical position was transferred from Administrative Services to Elections. \$2, 571,532 in electronic data processing funds was transferred to Administrative Services from other divisions for IT expenses.

- | | | |
|-------------------------------------|-----------------------|---|
| • (\$4,000) GR | Expense and Equipment | Publishing House and Senate Journals |
| • (\$193,548) GR | Personal Services | Move Admin Rules Division to Staff Services |
| • (\$333,951) GR | Expense and Equipment | Move Admin Rules Division to Staff Services |
| • \$26,544 GR | Personal Services | Transfer CIS II from Elections |
| • (\$17,100) GR | Personal Services | Transfer Composing Equip Operator I Position to Elections for Clerical Duties |
| • \$131,932 GR | Expense and Equipment | Transfer From Other Divisions for Electronic Data Processing |
| • \$2,439,600 Technology Trust Fund | Expense and Equipment | Transfer From Staff Services for Electronic Data Processing |

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DECISION ITEM RANK 001
 DECISION ITEM NO. 001 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
INFORMATION TECH DIRECTOR	.93	48,138	1.00	50,711	1.00	46,584	1.00	46,584
DIRECTOR FISCAL/HUMAN RESOURCE	.25	12,520						
OFFICE SERVICES SUPERVISOR			1.00	22,063	1.00	22,884	1.00	22,884
PUBLICATIONS DIRECTOR	1.00	39,232	1.00	41,937	1.00	41,856	1.00	41,856
ADMINISTRATIVE SECRETARY					1.00	17,724	1.00	17,724
SUPPLY CLERK	1.00	18,048	1.00	19,125	1.00	19,092	1.00	19,092
COMPOSING EQUIP OPERATOR I	2.17	40,694	4.00	76,910				
CLERK TYPIST II	.29	4,846	2.00	33,011	1.00	16,920	1.00	16,920
ASSISTANT EDITOR	1.00	21,492	1.00	22,898	1.00	22,740	1.00	22,740
COMPUTER INFO SPECIALIST II	1.45	44,816			4.00	114,652	4.00	114,652
COMPUTER INFO SPECIALIST III	1.31	51,409			1.00	32,808	1.00	32,808
PROOFREADER	.14	2,340						
PROGRAMMER TRAINEE	.48	10,043						
PART-TIME SUMMER	.29	2,993	1.50	5,895				
PART-TIME OTHER					.50	12,726	.50	12,726
HUMAN RESOURCES OFFICER	.88	22,628	1.00	27,136	1.00	27,084	1.00	27,084
FISCAL OFFICER	.58	19,831			1.00	35,964	1.00	35,964
FINANCIAL ASSISTANT			1.00	21,224				
ACCOUNT CLERK II	.58	12,138			1.00	22,020	1.00	22,020
ADMINISTRATIVE AIDE II			1.00	52,838				
COMPOSING EQUIP OPERATOR II			1.00	23,828				
DEPUTY SEC STATE ADMIN SVCS	1.00	50,677	1.00	18,256	1.00	53,160	1.00	53,160
RECEPTIONIST	1.00	17,220			1.00	18,216	1.00	18,216
CLERK II	2.00	38,531	2.00	40,687	2.00	40,620	2.00	40,620
LABOR SUPERVISOR	1.00	21,384	1.00	22,661	1.00	22,620	1.00	22,620
COMPOSING EQUIPMENT OPERATOR I	1.42	24,331			5.00	90,924	5.00	90,924
COMPOSING EQUIPMENT OPER II	1.00	21,480			1.00	22,728	1.00	22,728
COMPUTER INFO SPEC II				2,570				
OFFICE SERVICES COORDINATOR	.10	3,795						
COMPUTER INFO SPEC II	1.00	27,868	3.00	89,947				
DIRECTOR-FISCAL OPS			1.00	36,080				
BUDGET AND MNGMT ANALYST	.56	17,466	1.00	32,700	1.00	32,796	1.00	32,796
COMPUTER INFO SPEC I			1.00	26,924				
CONSULTANT INFO TECH			2.00	77,009	1.00	29,124	1.00	29,124
FUND SUBTOTAL								
GEN REV FUND	20.57	548,619	26.50	680,386	26.50	679,218	26.50	679,218

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DECISION ITEM RANK 001
 DECISION ITEM NO. 001 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	ACTUAL FTE	EXPENDITURE AMOUNT	FUNDED FTE	POSITIONS AMOUNT	REQUEST FTE	AMOUNT	RECOMMENDS FTE	AMOUNT
TECHNOLOGY TRUS	.86	25,301	2.00	64,024	2.00	64,024	2.00	64,024
FORM 6 SUBTOTAL	21.43	573,920	28.50	744,410	28.50	743,242	28.50	743,242
FLEXIBLE BENEF								
GEN REV FUND								1,590
TECHNOLOGY TRUS								120
COST OF LIVING								
GEN REV FUND								6,792
TECHNOLOGY TRUS								640
TOTAL DECISION								
GEN REV FUND	20.57	548,619	26.50	680,386	26.50	679,218	26.50	687,600
TECHNOLOGY TRUS	.86	25,301	2.00	64,024	2.00	64,024	2.00	64,784
GRAND TOTAL	21.43	573,920	28.50	744,410	28.50	743,242	28.50	752,384

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EXPENSE AND EQUIPMENT
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DECISION ITEM RANK 001
 DECISION ITEM NO. 001 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	16,402	7,500	7,500	7,500
OFFICE EXPENSE	616,589	259,000	255,000	255,000
OFFICE & COMM EQUIP PURCHASE	2,191			
COMMUNICATIONS EXPENSE	206,426	154,500	144,500	144,500
INST & PHYS PLANT EQUIP PURCH	35	6,500	6,500	6,500
DATA PROC EXPENSE & EQUIPMENT	6,856	176,010	2,747,543	2,747,543
PROFESSIONAL SERVICES	30,501	17,500	17,500	17,500
OTHER EXPENSES	11,348	8,000	8,000	8,000
TOTAL EQUIPMENT	890,348	629,010	3,186,543	3,186,543
SOURCE OF FUND SUMMARY				
GEN REV FUND	890,348	629,010	746,943	746,943
TECHNOLOGY TRUS			2,439,600	2,439,600
GRAND TOTAL	890,348	629,010	3,186,543	3,186,543

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DECISION ITEM RANK 002
DECISION ITEM NO. 016 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		27,170	27,170
TECHNOLOGY TRUS		2,560	2,560
TOTAL PERSONAL SERVICE		29,730	29,730
TOTAL DECISION ITEM		29,730	29,730

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE		
LEVEL 2 ADMINISTRATIVE SERVICES				
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DECISION ITEM RANK		002	OF	008
DECISION ITEM NO.		016		

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Administrative Services Department of the Office of the Secretary of State has identified the following strategic issue and goals that affect its delivery of services.

A. Human resource management and development (SOS Plan, page 18)

- Reward quality performance and professionalism
- Maintain a competitive compensation program

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE
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DECISION ITEM RANK <u>002</u> OF <u>008</u>		
DECISION ITEM NO. <u>016</u>		

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Personnel of the Office of the Secretary of State will: - Have appropriate skills - Improve and expand public services - Continue in state government service				
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Current level of services will be maintained				

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4%

<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>
General Revenue	\$679,218	\$27,170
Technology Trust	\$64,024	\$2,560

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DECISION ITEM RANK 002
 DECISION ITEM NO. 016 NAME: WITHIN GRADE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
INFORMATION TECH DIRECTOR					1.00	1,863	1.00	1,863
OFFICE SVCS SUPERVISOR					1.00	915	1.00	915
PUBLICATIONS DIRECTOR					1.00	1,674	1.00	1,674
ADMINISTRATIVE SECRETARY					1.00	709	1.00	709
SUPPLY CLERK					1.00	764	1.00	764
CLERK TYPIST II					1.00	677	1.00	677
ASSISTANT EDITOR					1.00	910	1.00	910
COMPUTER INFO SPEC II					4.00	4,586	4.00	4,586
COMPUTER INFO SPEC III					1.00	1,312	1.00	1,312
PART-TIME OTHER					.50	509	.50	509
HUMAN RESOURCES OFFICER					1.00	1,083	1.00	1,083
FISCAL OFFICER					1.00	1,439	1.00	1,439
ACCOUNT CLERK II					1.00	881	1.00	881
DEPUTY SEC STATE ADMIN SVCS					1.00	2,126	1.00	2,126
RECEPTIONIST					1.00	729	1.00	729
CLERK II					2.00	1,625	2.00	1,625
LABOR SUPERVISOR					1.00	905	1.00	905
COMPOSING EQUIP OPERATOR I					5.00	3,637	5.00	3,637
COMPOSING EQUIP OPERATOR II					1.00	909	1.00	909
BUDGET AND MANGMT ANALYST					1.00	1,312	1.00	1,312
INFORMATION TECH CONSULTANT					1.00	1,165	1.00	1,165
FUND SUBTOTAL								
GEN REV FUND					26.50	27,170	26.50	27,170
TECHNOLOGY TRUS					2.00	2,560	2.00	2,560
FORM 6 SUBTOTAL					28.50	29,730	28.50	29,730
TOTAL DECISION								
GEN REV FUND					26.50	27,170	26.50	27,170
TECHNOLOGY TRUS					2.00	2,560	2.00	2,560
GRAND TOTAL					28.50	29,730	28.50	29,730

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PROGRAM DECISION ITEM
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DECISION ITEM RANK 003
DECISION ITEM NO. 024 NAME: OFFICIAL MANUAL

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT GENERAL REVENUE		600,000	600,000
TOTAL EXPENSE & EQUIP		600,000	600,000
TOTAL DECISION ITEM		600,000	600,000

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: OFFICIAL MANUAL	PAGE
LEVEL 2 ADMINISTRATIVE SERVICES		
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LEVEL 5		
DECISION ITEM RANK		003 OF 008
DECISION ITEM NO.		024

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Enhance information access (SOS strategic plan, page 10) - Gather and publish pertinent information on the functions of the state of Missouri as required by statute B. Manage changing legislative requirements (SOS strategic plan, page 19) - Publish the <i>Official Manual</i> as required by state statute
2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. In accordance with RSMo Chapter 11, biennially, as soon as practicable after the organization of each general assembly, the Secretary of State is required to prepare and publish 40,000 copies of the <i>Official Manual</i>. The manual provides historical and statistical data on the state of Missouri and is distributed by a formula contained in the statute. Failure to fund this decision item would result in a violation of state statutes.
3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? Objectives: - The <i>Official Manual</i> will be prepared and published in accordance with state statutes - The <i>Official Manual</i> will be distributed in a timely manner Strategies: - Prepare and publish the <i>Official Manual</i> in accordance with RSMo Chapter 11

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: OFFICIAL MANUAL	PAGE
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LEVEL 5	DECISION ITEM RANK <u>003</u> OF <u>008</u>	
DECISION ITEM NO. <u>024</u>		

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. <i>Official Manual</i> is correctly prepared and published and distributed in a timely manner	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
5. OUTPUT MEASURES - Identify and quantify the services to be provided. Number of <i>Official Manuals</i> printed	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. Expense and equipment Office expense \$600,000 Calculations based upon historical expenses. This item is bid by O/A Division of Purchasing. Costs are General Revenue. This is a one-time expense.				

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DECISION ITEM RANK 003
 DECISION ITEM NO. 024 NAME: OFFICIAL MANUAL

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
OFFICE EXPENSE	-----	-----	600,000	600,000
TOTAL EQUIPMENT	-----	-----	600,000	600,000
SOURCE OF FUND SUMMARY				
GEN REV FUND			600,000	600,000
GRAND TOTAL	=====	=====	600,000	600,000

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PROGRAM DECISION ITEM
 FORM 5

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DECISION ITEM RANK 005
 DECISION ITEM NO. 031 NAME: INFORMATION TECHNOLOGY FTE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		174,000	174,000
TOTAL PERSONAL SERVICE		174,000	174,000
EXPENSE & EQUIPMENT			
GENERAL REVENUE		28,950	28,950
TECHNOLOGY TRUS		493,056	493,056
TOTAL EXPENSE & EQUIP		522,006	522,006
TOTAL DECISION ITEM		696,006	696,006
NO. EMPLOYEE FTE		5.00	5.00

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: INFORMATION TECHNOLOGY-ADDITIONAL FTE	PAGE		
LEVEL 2 ADMINISTRATIVE SERVICES				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	005	OF	008
DECISION ITEM NO.		031		

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.
- A. Provide quality customer service (SOS strategic plan, page 9)
 - Deliver responsive and timely service to external and internal customers
 - Improve service delivery systems
 - B. Enhance information access (SOS strategic plan, page 10)
 - Improve information services to enhance access to public information
 - Establish links to other information sources such as the Federal government, other state agencies, business, and libraries
 - C. Provide leadership and expertise in business and information systems. (SOS strategic plan, page 14)
 - Exercise leadership in state and local government to improve the quality of information services provided to citizens
 - Provide expertise on developing information systems to state government, local government, and libraries
 - D. Effectively utilize information technology (SOS strategic plan, page 15)
 - Implement the Information Strategy Plan to acquire state of the art information technology to improve quality, productivity, and delivery of services
 - Maintain an office standard for automation
 - Improve employee technology skills
 - E. Human resource management and development (SOS strategic plan, page 18)
 - Acquire and maintain the best mix of personnel skill sets for the operation of the Office of the Secretary of State

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: INFORMATION TECHNOLOGY-ADDITIONAL FTE	PAGE		
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LEVEL 3				
LEVEL 4				
LEVEL 5				
	DECISION ITEM RANK	005	OF	008
	DECISION ITEM NO.	031		

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Information Technology Division of the Office of the Secretary of State has completed development of an Information Strategy Plan (ISP) for all business units within the office. The ISP provides a framework for making future decisions relating to improving the information processing capabilities within the organization. The ISP identified five critical success factors that needed to be addressed immediately in order to succeed with any further automation tasks throughout the office. These critical factors are:

- Establish and implement a communication and networking infrastructure (local area network, electronic mail, wide area network, and the Internet)
- Selection and use of a common standardized database management system (database, interface, cross platform support, system architecture, administration and support services)
- Establish and implement computing standards (hardware platforms and software utilized)
- Establish and implement data and systems security (physical security, loss of data, workstation security, database and network security, Internet security)
- Establish and implement data and image storage standards (microfilm storage technology, optical storage technology, document retention, online and near-line media, archival media, electronic publications)

All of the critical success factors are in the initial stages of establishment and implementation. However, the successful execution of the ISP requires additional FTE to perform the following tasks:

- Business application development (converting existing applications to the established computing standards and database management system)
- Internet and Intranet development (making public information available on the Internet and internally utilizing the Intranet to operate more effectively and efficiently)
- Help desk support
- Special analysis of how business requirements and technology can be merged to leverage the business area

The number and types of personnel currently on-hand are not adequate to meet the requirements for establishment and implementation of the Information Strategy Plan. Additional personnel in current classifications plus more advanced analysts are required to automate the various business areas of the office in a timely manner. There is also a need for additional appropriation authority to provide flexibility in the use of Technology Trust Fund money. Increasing the fund appropriation will allow more efficient procurement practices such as quantity purchasing that will ultimately provide cost benefits. Failure to fund this decision item will prevent public information from being disseminated to our customers, the citizens of the State of Missouri. This has become and will continue to be a source of public dissatisfaction.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: INFORMATION TECHNOLOGY-ADDITIONAL FTE	PAGE		
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LEVEL 5				
DECISION ITEM RANK		005	OF	008
DECISION ITEM NO.		031		

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objectives: - Establish and implement the necessary technologies that will broaden access to and use of public information - Establish and implement the necessary technologies that will improve the delivery of non-public information - Strategies: - Hire five additional qualified information technology personnel who will contribute to the implementation of the Information Strategy Plan. This will result in improved services to the citizens of Missouri as well as to those doing business with the Office of the Secretary of State - Provide sufficient appropriation authority for the most effective use of Technology Trust Fund moneys				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Establishment and implementation of the five critical success factors				
Business areas that have had their automation systems successfully upgraded				
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Help desk requests answered				
Existing applications converted to new office standards				
Number of public documents made available on the Internet				

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: INFORMATION TECHNOLOGY-ADDITIONAL FTE	PAGE
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LEVEL 4		
LEVEL 5	DECISION ITEM RANK	<u>005</u> OF <u>008</u>
DECISION ITEM NO.		<u>031</u>

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Personal Service:

Computer Information Specialist II (Range 23, Step C)	\$26,544	Help desk support
Computer Information Specialist III (Range 26, Step C)	\$29,940	Internet/Intranet development and operation
Computer Information Specialist IV (Range 28, Step C)	\$32,520	Business application development
Data Processing Specialist III (Range 32, Step C)	\$38,412	Analysis and merging of business and technology functions
Information Technology Consultant (Range 34, Step C)	<u>\$46,584</u>	Advanced analysis and merging of business and technology functions
Total	\$174,000	

Expense and Equipment:

Professional one-time expenses:

Chair	(\$245x5)	\$1,225
Sidechair	(\$125x5)	\$625
Systems furniture	(\$2,500x5)	\$12,500
Calculator	(\$60x5)	\$300
PC (SOS standard)	(\$2,560x5)	<u>\$12,800</u>
		\$27,450

Professional ongoing expenses:

Office supplies	(\$300x5)	\$1,500
Electronic data processing costs		<u>\$493,056</u>
		\$494,556

Total **\$696,006**

General Revenue	\$202,950
Technology Trust Fund	\$493,056

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DECISION ITEM RANK 005
 DECISION ITEM NO. 031 NAME: INFORMATION TECHNOLOGY FTE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
COMPUTER INFO SPEC II					1.00	26,544	1.00	26,544
COMPUTER INFO SPEC III					1.00	29,940	1.00	29,940
DATA PROCESSING SPEC III					1.00	38,412	1.00	38,412
COMPUTER INFO SPEC IV					1.00	32,520	1.00	32,520
INFO TECH CONSULTANT					1.00	46,584	1.00	46,584
FUND SUBTOTAL								
GEN REV FUND					5.00	174,000	5.00	174,000
FORM 6 SUBTOTAL					5.00	174,000	5.00	174,000
TOTAL DECISION								
GEN REV FUND					5.00	174,000	5.00	174,000
GRAND TOTAL					5.00	174,000	5.00	174,000

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EXPENSE AND EQUIPMENT
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DECISION ITEM RANK 005
DECISION ITEM NO. 031 NAME: INFORMATION TECHNOLOGY FTE

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE			1,500	1,500
OFFICE EXPENSE			14,650	14,650
DATA PROC EXPENSE & EQUIPMENT	-----	-----	505,856	505,856
TOTAL EQUIPMENT			522,006	522,006
SOURCE OF FUND SUMMARY				
GEN REV FUND			28,950	28,950
TECHNOLOGY TRUS			493,056	493,056
GRAND TOTAL	=====	=====	522,006	522,006

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PROGRAM DECISION ITEM
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DECISION ITEM RANK 008
 DECISION ITEM NO. 041 NAME: POSTAGE METERING MACHINE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT			
GENERAL REVENUE		22,243	22,243
TOTAL EXPENSE & EQUIP		22,243	22,243
TOTAL DECISION ITEM		22,243	22,243

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: POSTAGE METER	PAGE _____		
LEVEL 2 ADMINISTRATIVE SERVICES				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	008	OF	008
		DECISION ITEM NO.	041	

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Effectively utilize information technology (SOS strategic plan, page 15) - Acquire an automated postage meter to provide capability to accurately determine expenditures and to replace aging model currently on-hand				
2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. The Fiscal and Human Resources Division of the Office of the Secretary of State provides mail services to all other divisions in the office. Most of the mail is processed through a single machine. This machine is aging and becoming unreliable and difficult to maintain. The purchase of a new postage meter would eliminate the maintenance problems and allow the division to take advantage of new technology the older model does not possess - the capability to track postage expenditures by division and funding source. This capability would allow the determination of where postage money is being spent and give division directors responsibility for the expenditures under their control. Funding this item will allow this office to +be more cost efficient in expending its resources.				
3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objective - Establish historical expenditure data for postage usage by divisions, improve reliability of postage metering, and reduce maintenance costs associated with aging equipment. - Strategy: This will be accomplished by purchasing an automated postage meter with memory capability to track expenditures by division.				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Postage expenditure data created for every division and funding source	5%	5%	100%	100%
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Pieces of mail metered	365,000	370,000	375,000	380,000

PROGRAM DECISION ITEM ANALYSIS FORM 5

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6. **COST EXPLANATION** - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Expense and equipment

Estimated cost of a new postage meter (Pitney Bowes Model USLY or equivalent) \$22,243

Cost calculation is based on actual price quotation from Pitney Bowes company.

All cost are General Revenue. This is a one-time cost

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: POSTAGE METER	PAGE
LEVEL 2 ADMINISTRATIVE SERVICES		
LEVEL 3		
LEVEL 4		
LEVEL 5		
		DECISION ITEM RANK <u>008</u> OF <u>008</u>
		DECISION ITEM NO. <u>041</u>

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Effectively utilize information technology (SOS strategic plan, page 15) - Acquire an automated postage meter to provide capability to accurately determine expenditures and to replace aging model currently on-hand				
2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. The Fiscal and Human Resources Division of the Office of the Secretary of State provides mail services to all other divisions in the office. Most of the mail is processed through a single machine. This machine is aging and becoming unreliable and difficult to maintain. The purchase of a new postage meter would eliminate the maintenance problems and allow the division to take advantage of new technology the older model does not possess - the capability to track postage expenditures by division and funding source. This capability would allow the determination of where postage money is being spent and give division directors responsibility for the expenditures under their control. Funding this item will allow this office to +be more cost efficient in expending its resources.				
3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? • Objective - Establish historical expenditure data for postage usage by divisions, improve reliability of postage metering, and reduce maintenance costs associated with aging equipment. • Strategy: This will be accomplished by purchasing an automated postage meter with memory capability to track expenditures by division.				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Postage expenditure data created for every division and funding source	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
	5%	5%	100%	100%
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Pieces of mail metered	365,000	370,000	375,000	380,000

LEVEL 1 SECRETARY OF STATE
LEVEL 2 OFFICE OF SECRETARY OF STATE
LEVEL 3 SEC OF STATE-ADMIN SERVICES 23140
LEVEL 4
LEVEL 5
LEVEL 6

EXPENSE AND EQUIPMENT
FORM 7

GOVERNOR
PAGE

DECISION ITEM RANK 008
DECISION ITEM NO. 041 NAME: POSTAGE METERING MACHINE

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
OFFICE & COMM EQUIP PURCHASE	-----	-----	22,243	22,243
TOTAL EQUIPMENT	-----	-----	22,243	22,243
SOURCE OF FUND SUMMARY GEN REV FUND			22,243	22,243
GRAND TOTAL	=====	=====	22,243	22,243
	=====	=====	=====	=====

ELECTIONS

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-ELECTIONS
 LEVEL 4
 LEVEL 5
 LEVEL 6

23155

DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
 PAGE

	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	3 / 8 TERM LIMITS MONITORING	TOTAL
PERSONAL SERVICES						
GENERAL REVENUE	132,076	159,236	155,172 <157,039 >	6,207 <6,207 >	20,000 <20,000 >	181,379 <183,246 >
FEDERAL FUNDS						
LOCAL RECORDS						
TOTAL	132,076	159,236	155,172 <157,039 >	6,207 <6,207 >	20,000 <20,000 >	181,379 <183,246 >
EXPENSE AND EQUIPMENT						
GENERAL REVENUE	78,790	63,144	63,217 <63,217 >		9,180 <9,180 >	72,397 <72,397 >
LOCAL RECORDS						
TOTAL	78,790	63,144	63,217 <63,217 >		9,180 <9,180 >	72,397 <72,397 >
GRAND TOTAL	210,866	222,380	218,389 <220,256 >	6,207 <6,207 >	29,180 <29,180 >	253,776 <255,643 >
SOURCE OF FUNDS SUMMARY						
GENERAL REVENUE	210,866	222,380	218,389 <220,256 >	6,207 <6,207 >	29,180 <29,180 >	253,776 <255,643 >
NO. EMPLOYEE FTES	4.51	5.25	5.25 <5.25>		1.00 <1.00>	6.25 <6.25>

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-ELECTIONS 23155
 LEVEL 4
 LEVEL 5
 LEVEL 6

PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 002 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE	159,236	155,172	157,039
TOTAL PERSONAL SERVICE	159,236	155,172	157,039
EXPENSE & EQUIPMENT			
GENERAL REVENUE	63,144	63,217	63,217
TOTAL EXPENSE & EQUIP	63,144	63,217	63,217
TOTAL DECISION ITEM	222,380	218,389	220,256
NO. EMPLOYEE FTE	5.25	5.25	5.25

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 ELECTIONS		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK <u>001</u> OF <u>008</u>		
DECISION ITEM NO. <u>002</u>		

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Elections Department of the Office of the Secretary of State has identified several strategic issues and numerous goals that affect its core delivery of services. These include:

- A. Provide quality customer service (SOS strategic plan, page 9)
 - Deliver responsive and timely service to meet increasing demand from our patrons, whether state and local government or the taxpayer
 - Maintain statutory compliance in providing services to state and local governments
 - Emphasize courtesy and mutual respect to all customers
- B. Enhance information access (SOS strategic plan, page 10)
 - Process stored documents to make them accessible to the public, whether provided by this office or to other entities to dispense to the public
 - Improve information services to enhance access to public documents
- C. Effectively utilize information technology (SOS strategic plan, page 15)
 - Upgrade and maintain automated voting systems
- D. Provide enhanced opportunity to vote (SOS strategic plan, page 17)
 - Continue to work with counties to improve the statewide voter registration system
 - Maintain and improve statewide voter database
- E. Human resource management and development (SOS strategic plan, page 18)
 - Develop and maintain the best mix of skill sets to support Elections
 - Improve staff automation skills

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 ELECTIONS		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		002

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. This core request represents resources for the operation of Department programs, which include: - The preparation and holding of fair and orderly elections. This includes maintaining a statewide voter registration database, planning elections and other ballot issues such as petitions and initiative referendums, and counting and certifying ballots. This relates to strategic issues A, D, and E. Priority outcomes for FY 1998 include: - Maintaining the statewide voter registration database - Planning and preparation for FY 1998 elections - Developing methods to enhance the opportunities for Missouri citizens to vote				
3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? The Elections Department has developed goals and objectives in support of the identified strategic issues. The Office of the Secretary of State draft strategic plan provides additional information on those strategic issues. Selected high priority objectives include: Issue D - Provide enhanced opportunity to vote Encourage more citizens of Missouri to exercise their right to vote. Make voter registration and the voting process more accessible by maintaining a statewide voter registration system and developing simpler methods of voting.				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Percentage of eligible voters registered Percentage of registered voters voting	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
5. OUTPUT MEASURES - Identify and quantify the services to be provided. Voters registered	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM:	PAGE
LEVEL 2 ELECTIONS	CORE REQUEST	
LEVEL 3		
LEVEL 4	DECISION ITEM RANK <u>001</u> OF <u>008</u>	
LEVEL 5	DECISION ITEM NO. <u>002</u>	

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Core budget request. There were no one-time costs in FY 1997.

The Elections Department was created as a separate organization as part of an office reorganization completed in FY 1997. It had previously been part of the Government Services Department.

Core transfers include the transfer out of a Computer Information Specialist II to Administrative Services, the transfer in of a clerical position from Administrative Services and the transfer of electronic data processing funds to Administrative Services.

(\$26,544) GR	Personal Services	Transfer CIS II to IT Division of Administrative Services
\$17,100 GR	Personal Services	Transfer from Administrative Services for Clerical Position
(\$1,777) GR	Expense and Equipment	Transfer Electronic Data Processing Funds to IT Division of Administrative Services

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-ELECTIONS
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23155

PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 001
 DECISION ITEM NO. 002 NAME: CORE REQUEST

GOVERNOR
 PAGE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
DEP SEC OF STATE-GOVMT	1.00	48,160	1.00	55,880	1.00	52,812	1.00	52,812
ELECTIONS DIRECTOR	.90	31,580	1.00	37,104	1.00	37,032	1.00	37,032
COMPOSING EQUIP OPERATOR I	1.00	16,764	1.00	17,100				
CLERK TYPIST II					1.00	16,320	1.00	16,320
COMPUTER INFO SPECIALIST II	.36	9,262						
PART-TIME SUMMER	.25	774	.25	780	.25	780	.25	780
CLERK I			1.00	21,306				
PROJECT COORDINATOR					1.00	21,216	1.00	21,216
ADMINISTRATIVE AIDE III	1.00	25,536	1.00	27,066	1.00	27,012	1.00	27,012
FUND SUBTOTAL								
GEN REV FUND	4.51	132,076	5.25	159,236	5.25	155,172	5.25	155,172
FEDERAL FUND								
LOCAL RECORDS								
FORM 6 SUBTOTAL	4.51	132,076	5.25	159,236	5.25	155,172	5.25	155,172
FLEXIBLE BENEF								
GEN REV FUND								315
COST OF LIVING								
GEN REV FUND								1,552
TOTAL DECISION								
GEN REV FUND	4.51	132,076	5.25	159,236	5.25	155,172	5.25	157,039
FEDERAL FUND								
LOCAL RECORDS								
GRAND TOTAL	4.51	132,076	5.25	159,236	5.25	155,172	5.25	157,039

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-ELECTIONS 23155
 LEVEL 4
 LEVEL 5
 LEVEL 6

EXPENSE AND EQUIPMENT
FORM 7

GOVERNOR
PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 002 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	7,101	7,400	7,400	7,400
OFFICE EXPENSE	45,000	25,000	25,000	25,000
OFFICE AND COMM EQUIP PURCHASE	12,142	1,700	1,700	1,700
COMMUNICATIONS EXPENSE	433	150	2,000	2,000
INST AND PHYS PLANT EXPENSE	13			
DATA PROC EXPENSE & EQUIPMENT	1,724	14,750	12,973	12,973
PROFESSIONAL SERVICES		8,144	8,144	8,144
OTHER EXPENSES	12,377	6,000	6,000	6,000
	-----	-----	-----	-----
TOTAL EQUIPMENT	78,790	63,144	63,217	63,217
SOURCE OF FUND SUMMARY				
GEN REV FUND	78,790	63,144	63,217	63,217
LOCAL RECORDS				
GRAND TOTAL	78,790	63,144	63,217	63,217
	=====	=====	=====	=====

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-ELECTIONS
 LEVEL 4
 LEVEL 5
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 002
 DECISION ITEM NO. 017 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		6,207	6,207
TOTAL PERSONAL SERVICE		6,207	6,207
TOTAL DECISION ITEM		6,207	6,207

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE
LEVEL 2 ELECTIONS		
LEVEL 3		
LEVEL 4	DECISION ITEM RANK	002 OF 008
LEVEL 5	DECISION ITEM NO.	017

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Elections Department of the Office of the Secretary of State has identified the following strategic issue and goals that affect its delivery of services.

- A. Human resource management and development (SOS Plan, page 18)**
- Reward quality performance and professionalism
 - Maintain a competitive compensation program

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE		
LEVEL 2 ELECTIONS				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	002	OF	008
		DECISION ITEM NO.	017	

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.										
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Personnel of the Office of the Secretary of State will: - Have appropriate skills - Improve and expand public services - Continue in state government service	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999						
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999						
Current level of services will be maintained										
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4% <table border="1"> <thead> <tr> <th><u>Fund</u></th> <th><u>FY 1997 PS Core</u></th> <th><u>Within Grade Increase</u></th> </tr> </thead> <tbody> <tr> <td>General Revenue</td> <td>\$155,172</td> <td>\$6,207</td> </tr> </tbody> </table>					<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>	General Revenue	\$155,172	\$6,207
<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>								
General Revenue	\$155,172	\$6,207								

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-ELECTIONS
 LEVEL 4
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 LEVEL 6

23155

PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 002
 DECISION ITEM NO. 017 NAME: WITHIN GRADE

GOVERNOR
 PAGE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE AMOUNT	BUDGET YEAR REQUEST FTE AMOUNT	GOVERNOR RECOMMENDS FTE AMOUNT
DEPUTY SEC STATE ELECTIONS			1.00 2,112	1.00 2,112
ELECTIONS DIRECTOR			1.00 1,481	1.00 1,481
CLERK TYPIST II			1.00 654	1.00 654
PART-TIME SUMMER			.25 31	.25 31
PROJECT COORDINATOR			1.00 849	1.00 849
ADMINISTRATIVE AIDE III			1.00 1,080	1.00 1,080
FUND SUBTOTAL				
GEN REV FUND			5.25 6,207	5.25 6,207
FORM 6 SUBTOTAL			5.25 6,207	5.25 6,207
TOTAL DECISION				
GEN REV FUND			5.25 6,207	5.25 6,207
GRAND TOTAL			5.25 6,207	5.25 6,207

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-ELECTIONS 23155
 LEVEL 4
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
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DECISION ITEM RANK 003
 DECISION ITEM NO. 025 NAME: TERM LIMITS MONITORING

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE GENERAL REVENUE		20,000	20,000
TOTAL PERSONAL SERVICE		20,000	20,000
EXPENSE & EQUIPMENT GENERAL REVENUE		9,180	9,180
TOTAL EXPENSE & EQUIP		9,180	9,180
TOTAL DECISION ITEM		29,180	29,180
NO. EMPLOYEE FTE		1.00	1.00

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: TERM LIMITS MONITORING	PAGE
LEVEL 2 ELECTIONS		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK <u>003</u> OF <u>008</u>		
DECISION ITEM NO. <u>025</u>		

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

This new decision item provides resources to the Secretary of State to allow compliance with Constitutional Amendment 9 on term limits that was passed by Missouri voters at the November 5, 1996 general election. This request supports strategic issues for the Elections Department of the Office of the Secretary of State. These are:

A. Respond to changing legislative requirements. (SOS strategic plan, page 19)

- To provide new services constitutionally required of the Office of the Secretary of State

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

Constitutional Amendment 9 passed at the November 5, 1996 general election. Its purpose is to inform voters, via a legend on the ballot, of congressional candidates' positions on term limits. A candidate's position is determined, if an incumbent, by his or her actions in the legislature; if a non-incumbent, by whether he or she is willing to sign a "term limits pledge." The Secretary of State's primary responsibility is to make an accurate determination as to whether a legend should appear on the ballot adjacent to each candidate's name. The office must be prepared to defend its determination and manage any subsequent specific or general challenges or litigation.

In accordance with justification set forth in Fiscal Note 5003-01, the Office of the Secretary of State requires the services of a full-time paralegal to monitor, catalogue and store the Congressional Record; attend sessions and committee hearings of the Congress; record, review, store and check the validity of public comments; record and store prospective candidates' pledges; advise the Elections Department and counsel of findings with regard to actions and recorded statements of Congressional candidates; and testify during subsequent litigation.

The requirement for .25 FTE included in the fiscal note for an attorney to provide advice and manage anticipated problems and possible litigation can be absorbed by General Counsel provided Corporate Counsel decision item is approved.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: TERM LIMITS MONITORING	PAGE _____		
LEVEL 2 ELECTIONS				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	003	OF	008
		DECISION ITEM NO.	025	

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objective: Comply with the requirements to monitor Congressional candidates' positions on term limits per Constitutional Amendment 9 - Strategy: Hire a Paralegal to perform term limits monitoring				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Compliance with Constitutional Amendment 9	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
	0	100%	100%	100%
5. OUTPUT MEASURES - Identify and quantify the services to be provided. Congressional candidates monitored for term limits position	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: TERM LIMITS MONITORING	PAGE
LEVEL 2 ELECTIONS		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK <u>003</u> OF <u>008</u>		
DECISION ITEM NO. <u>025</u>		

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

The following costs are associated with this decision item. E&E costs were taken from the OA guidelines for expense and equipment except for the costs associated with a personal computer and software, where an SOS standard office configuration was used to ensure compatibility.

Personal Service:

Paralegal	\$20,000	1.00 FTE
-----------	----------	----------

Expense & Equipment:

Professional One Times:

Chair	\$245	
Side chair (1)	\$125	
Systems Furniture	\$2,500	
Calculator	\$60	
PC & Software	<u>\$2,560</u>	
	\$5,430	

Professional Ongoing:

Office supplies	\$300	
Travel	\$3,200	
TOTAL	\$29,180	

LEVEL 1 SECRETARY OF STATE		PERSONAL SERVICES				GOVERNOR	
LEVEL 2 OFFICE OF SECRETARY OF STATE		FORM 6				PAGE	
LEVEL 3 SEC OF STATE-ELECTIONS		23155	DECISION ITEM RANK 003				
LEVEL 4			DECISION ITEM NO. 025		NAME: TERM LIMITS MONITORING		
LEVEL 5							
LEVEL 6							

LEVEL 1 SECRETARY OF STATE
LEVEL 2 OFFICE OF SECRETARY OF STATE
LEVEL 3 SEC OF STATE-ELECTIONS 23155
LEVEL 4
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LEVEL 6

EXPENSE AND EQUIPMENT
FORM 7

GOVERNOR
PAGE

DECISION ITEM RANK 003
DECISION ITEM NO. 025 NAME: TERM LIMITS MONITORING

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE			3,200	3,200
OFFICE EXPENSE			550	550
OFFICE & COMM EQUIP PURCHASE			2,870	2,870
DATA PROC EXPENSE & EQUIPMENT			2,560	2,560
TOTAL EQUIPMENT	-----	-----	9,180	9,180
SOURCE OF FUND SUMMARY				
GEN REV FUND			9,180	9,180
GRAND TOTAL	=====	=====	9,180	9,180
	=====	=====	=====	=====

STATE ARCHIVES

...
 LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-STATE ARCHIVES 23158
 LEVEL 4
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 LEVEL 6

DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	6 / 8 LOCAL RECORD ARCHIVIST	6 / 8 ARCHIVES ARCHIVIST	TOTAL
PERSONAL SERVICES							
GENERAL REVENUE	836,456	845,170	850,348	34,012		25,524	
			<861,267 >	<34,012 >		<25,524 >	
FEDERAL FUNDS	15,552						
LOCAL RECORDS	604,206	655,521	655,521	26,222	32,520		
			<663,590 >	<26,222 >	<32,520 >		
TOTAL	1,456,214	1,500,691	1,505,869	60,234	32,520	25,524	
			<1,524,857 >	<60,234 >	<32,520 >	<25,524 >	
EXPENSE AND EQUIPMENT							
GENERAL REVENUE	453,328	613,980	431,665			5,790	
			<431,665 >			<5,790 >	
LOCAL RECORDS	237,249	354,432	208,373		5,790		
			<208,373 >		<5,790 >		
TOTAL	690,577	968,412	640,038		5,790	5,790	
			<640,038 >		<5,790 >	<5,790 >	
GRAND TOTAL	2,146,791	2,469,103	2,145,907	60,234	38,310	31,314	
			<2,164,895 >	<60,234 >	<38,310 >	<31,314 >	
SOURCE OF FUNDS SUMMARY							
GENERAL REVENUE	1,289,784	1,459,150	1,282,013	34,012		31,314	
			<1,292,932 >	<34,012 >		<31,314 >	
FEDERAL FUNDS	15,552						
LOCAL RECORDS	841,455	1,009,953	863,894	26,222	38,310		
			<871,963 >	<26,222 >	<38,310 >		
NO. EMPLOYEE FTES	65.76	65.50	65.50		1.00	1.00	
			<65.50>		<1.00>	<1.00>	

**GOVERNOR
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	6 / 8 USED FORKLIFT	6 / 8 RECORDS CENT SHELVING	6 / 8 DENSITOMETER	TOTAL
PERSONAL SERVICES						
GENERAL REVENUE						909,884
						<920,803 >
LOCAL RECORDS						714,263
						<722,332 >
TOTAL	-----	-----	-----	-----	-----	-----
						1,624,147
						<1,643,135 >
EXPENSE AND EQUIPMENT						
GENERAL REVENUE			28,300	65,550	3,000	534,305
			<28,300 >	<65,550 >	<3,000 >	<534,305 >
LOCAL RECORDS						214,163
						<214,163 >
TOTAL	-----	-----	-----	-----	-----	-----
			28,300	65,550	3,000	748,468
			<28,300 >	<65,550 >	<3,000 >	<748,468 >
GRAND TOTAL			28,300	65,550	3,000	2,372,615
			<28,300 >	<65,550 >	<3,000 >	<2,391,603 >
	=====	=====	=====	=====	=====	=====
SOURCE OF FUNDS SUMMARY						
GENERAL REVENUE			28,300	65,550	3,000	1,444,189
			<28,300 >	<65,550 >	<3,000 >	<1,455,108 >
LOCAL RECORDS						928,426
						<936,495 >
NO. EMPLOYEE FTES						67.50
						<67.50>

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PROGRAM DECISION ITEM
FORM 5

GOVERNOR
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DECISION ITEM RANK 001
DECISION ITEM NO. 014 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE	845,170	850,348	861,267
LOCAL RECORDS	655,521	655,521	663,590
TOTAL PERSONAL SERVICE	1,500,691	1,505,869	1,524,857
EXPENSE & EQUIPMENT			
GENERAL REVENUE	613,980	431,665	431,665
LOCAL RECORDS	354,432	208,373	208,373
TOTAL EXPENSE & EQUIP	968,412	640,038	640,038
TOTAL DECISION ITEM	2,469,103	2,145,907	2,164,895
NO. EMPLOYEE FTE	65.50	65.50	65.50

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE		
LEVEL 2 STATE ARCHIVES				
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DECISION ITEM RANK		001	OF	008
DECISION ITEM NO.		014		

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The State Archives of the Office of the Secretary of State has identified several strategic issues and numerous goals that affect its core delivery of services. These include:

A. Provide quality customer service (SOS strategic plan, page 9)

- Deliver responsive and timely service to meet increasing demand from our patrons, whether state and local government or the taxpayer
- Maintain statutory compliance in providing services to state and local governments
- Emphasize courtesy and mutual respect to all customers

B. Enhance information access (SOS strategic plan, page 10)

- Process stored documents to make them accessible to the public, whether provided by this office or to other entities to dispense to the public
- Improve information services to enhance access to public documents

C. Preservation and archiving of public information (SOS strategic plan, page 12)

- Upgrade storage capacity to accept additional documents and microfilm and provide a secure storage environment
- Identify, collect, and preserve records of historical value of Missouri's state and local governments provided to the public
- Make records available without damaging valuable historical documents
- Assist local governments in preserving their valuable historical documents

D. Leadership and expertise in business and information services (SOS strategic plan, page 14)

- Provide state and local governments with expertise on preservation and storage of electronic records
- Direct rigorous retention review by all government entities for destruction of all unnecessary records in all formats

E. Effectively utilize information technology (SOS strategic plan, page 15)

- Upgrade and maintain automated and micrographics systems to improve storage of public information
- Utilize information technology to improve access to stored materials through better indexing and retrieval

F. Human resource management and development (SOS strategic plan, page 18)

- Develop and maintain the best mix of skill sets to support the State Archives
- Improve staff automation skills

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: 	PAGE
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		DECISION ITEM RANK <u>001</u> OF <u>008</u>	
		DECISION ITEM NO. <u>014</u>	

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the operation of Department programs, which include:

- Appraising, collecting, organizing, conserving, storing, and the orderly destruction of the vast quantity of records produced by state and local governments. This includes identifying and preserving historical records as well as improving access to public documents held by state and local governments and eliminating records which no longer possess sufficient administrative, legal, fiscal, or historical value. This relates to strategic issues A, B, C, D, E and F. Priority outcomes for FY 1998 include:
 - Continuing the upgrade of storage facilities
 - Improving information systems to increase access to public documents
 - Developing and maintaining the correct set of skill sets to accomplish records management operations
 - Providing leadership to state and local governments in records management operations

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE		
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LEVEL 5	DECISION ITEM RANK	001	OF	008
DECISION ITEM NO.		014		

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

The Government Services Department has developed multiple goals and objectives in support of the identified strategic issues. The Office of the Secretary of State draft strategic plan provides additional information on those strategic issues. Selected high priority objectives include:

Issue #2 - Enhance information access

- Reduce the rate at which the backlog of unprocessed public documents grows by 3,000 cubic feet by June, 1998. The Department will devote personnel resources, secure storage space, and equipment to process additional documents.
- Expand state and local records databanks for statewide and national access. Integrate local records into the existing MOREnet and SOS State Library information infrastructure by developing a format that will accept the records templates for storing and accessing information.

Issue #3 - Preservation and archiving of public information

- Provide the current level of outstanding service while preserving valuable historical documents. Utilize staff and photocopy equipment to provide patrons with good reproductions which prevents damage to rare books and bound archival material.
- Continue records management initiatives to provide expertise to state and local governments for planning management efforts implementing electronic records systems. The division will hold statewide workshops, provide retention schedules, perform on-site training for officials, and participate in planning sessions
- Professionally process the combined microfilm products of state and local government while making the information available to the public statewide. Encourage all governments to use computer tracking of projects, computer generated labels and finding aids, quality control, and periodic reviews of vault film for infestation or chemical reaction to facilitate preservation and storage.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Storage space utilization (cumulative growth)	20%	40%	60%	80%
Local records projects planned	96	96	96	96

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE		
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DECISION ITEM NO.		014		

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Records accessioned	13,500	14,100	14,400	14,750
Records stored				
- original paper records	198,130	210,630	225,000	240,000
- microfilmed records (reels of film)	205,000	214,000	224,000	235,000
Local records consultations	550	550	550	550
Images microfilmed (equals one page)	14,900,000	15,000,000	15,200,000	15,300,000
Research requests (in person/mail/telephone inquiries)	34,308	35,680	36,750	37,852
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.				
Core budget request. One-time costs provided in FY 1997 have been deducted from the core budget as follows:				
- \$24,500 Local Records Fund for a planetary camera - \$45,564 Local Records Fund for EDP upgrades - \$12,995 Local Records Fund for a reader-printer - \$44,000 Local Records Fund for Gem Tracks - \$19,000 Local Records Fund for a film processor - \$75,000 GR for automation upgrades - \$100,000 GR for Gem Tracks				
Other core transfers include the transfer out of Commissions Division to Business Services as part of the FY 1997 reorganization and the transfer of electronic data processing funds to the IT Division of Administrative Services.				
(\$112,876) GR	Personal Services	Transfer of Commissions Division to Business Services		
(\$51,675) GR	Expense and Equipment	Transfer of Commissions Division to Business Services		
(\$3,515) GR	Expense and Equipment	Transfer of electronic data processing funds to IT Division of Administrative Services		

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PERSONAL SERVICES
 FORM 6

GOVERNOR
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DECISION ITEM RANK 001
 DECISION ITEM NO. 014 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
LOCAL RECORDS DIRECTOR	1.00	39,888	1.00	42,278	1.00	42,204	1.00	42,204
RECORDS/ARCHIVES DIRECTOR	1.00	48,000	1.00	50,880	1.00	50,784	1.00	50,784
ADMINISTRATIVE SECRETARY	2.00	39,863	2.00	42,203	2.00	43,140	2.00	43,140
STATE ARCHIVIST	1.00	50,916	1.00	53,974	1.00	53,868	1.00	53,868
ASSISTANT STATE ARCHIVIST	1.00	32,400	1.00	34,345	1.00	34,284	1.00	34,284
ANALYST SUPERVISOR	.96	27,048	1.00	29,911	1.00	29,856	1.00	29,856
MICROFILM SUPERVISOR	1.00	28,224	1.00	29,912	1.00	29,856	1.00	29,856
RECORDS ANALYST I	2.00	40,128	2.00	42,530	2.00	42,456	2.00	42,456
RECORDS CLERK I	4.00	63,684	4.00	67,507	4.00	67,320	4.00	67,320
CAMERA OPERATOR I	11.27	182,657	11.00	189,211	11.00	187,980	11.00	187,980
CAMERA OPERATOR II	2.00	36,864	2.00	39,078	2.00	39,012	2.00	39,012
CLERK TYPIST II	4.66	76,079	5.00	85,782	5.00	86,340	5.00	86,340
CLERK TYPIST III	2.00	39,156	1.00	23,107	2.00	41,424	2.00	41,424
ARCHIVIST	13.00	325,788	13.00	347,518	13.00	344,604	13.00	344,604
CONSERVATION TECH I			2.00	46,261				
CONSERVATION TECH II			1.00	29,078				
PART-TIME SUMMER	1.06	14,427	1.50	2,334	1.20	3,974	1.20	3,974
PART-TIME OTHER	1.38	21,590	2.00	21,936	2.30	24,959	2.30	24,959
WAREHOUSE SUPERVISOR	1.00	22,614	1.00	23,811	1.00	25,668	1.00	25,668
CONTROL CENTER CLERK	1.00	18,072	1.00	19,156	1.00	19,116	1.00	19,116
FISCAL GRANTS OFFICER	1.00	25,380	1.00	26,908	1.00	26,940	1.00	26,940
CONSERVATOR I	3.00	71,064			1.00	23,076	1.00	23,076
CONSERVATOR II					2.00	56,028	2.00	56,028
CAMERA OPERATOR III	1.00	19,044	1.00	20,188	1.00	20,148	1.00	20,148
SENIOR ARCHIVIST	1.00	26,388	1.00	27,969	1.00	27,924	1.00	27,924
CATALOG EDITOR	.50	15,552						
CLERK I	1.55	20,736	1.00	21,768	1.00	15,876	1.00	15,876
PROJECT COORDINATOR	2.00	40,632			1.00	21,768	1.00	21,768
SENIOR CONSERVATOR	1.00	31,824	1.00	33,733	1.00	33,672	1.00	33,672
CONSERVATOR TECHNICIAN		7,000						
ELEC RECORDS ANALYST	2.38	64,556	2.00	52,410	2.00	53,664	2.00	53,664
REFERENCE ASST II			1.00	20,902				
ADMIN PROGRAMS COORD	1.00	26,640	1.00	28,301	1.00	28,188	1.00	28,188
ELEC RECORDS COORD			1.00	31,800	1.00	31,740	1.00	31,740
CLERK I			1.00	15,900				

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DECISION ITEM RANK 001
 DECISION ITEM NO. 014 NAME: CORE REQUEST

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PARS CLASSIFICATION	FTE	PRIOR YEAR ACTUAL EXPENDITURE AMOUNT	FTE	CURRENT YEAR FUNDED POSITIONS AMOUNT	FTE	BUDGET YEAR REQUEST AMOUNT	FTE	GOVERNOR RECOMMENDS AMOUNT
FUND SUBTOTAL								
GEN REV FUND	41.50	836,456	40.26	845,170	40.26	850,348	40.26	850,348
FEDERAL FUND	.50	15,552						
LOCAL RECORDS	23.76	604,206	25.24	655,521	25.24	655,521	25.24	655,521
FORM 6 SUBTOTAL	65.76	1,456,214	65.50	1,500,691	65.50	1,505,869	65.50	1,505,869
FLEXIBLE BENEF								
GEN REV FUND								2,416
LOCAL RECORDS								1,514
COST OF LIVING								
GEN REV FUND								8,503
LOCAL RECORDS								6,555
TOTAL DECISION								
GEN REV FUND	41.50	836,456	40.26	845,170	40.26	850,348	40.26	861,267
FEDERAL FUND	.50	15,552						
LOCAL RECORDS	23.76	604,206	25.24	655,521	25.24	655,521	25.24	663,590
GRAND TOTAL	65.76	1,456,214	65.50	1,500,691	65.50	1,505,869	65.50	1,524,857

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EXPENSE AND EQUIPMENT
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DECISION ITEM RANK 001
 DECISION ITEM NO. 014 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	92,627	105,988	105,988	105,988
TRANSP EQUIPMENT PURCHASE	17,088			
OFFICE EXPENSE	238,992	241,575	255,075	255,075
OFFICE AND COMM EQUIP PURCHASE	198,502	327,995	96,500	96,500
COMMUNICATIONS EXPENSE	6,201	35,800	32,000	32,000
INST AND PHYS PLANT EXPENSE	19,753	51,990	51,990	51,990
INST & PHYS PLANT EQUIP PURCH	2,600	64,100	20,100	20,100
DATA PROC EXPENSE & EQUIPMENT	13,202	76,864	27,785	27,785
PROFESSIONAL SERVICES	63,447	36,600	36,600	36,600
OTHER EXPENSES	38,165	27,500	14,000	14,000
TOTAL EQUIPMENT	690,577	968,412	640,038	640,038
SOURCE OF FUND SUMMARY				
GEN REV FUND	453,328	613,980	431,665	431,665
LOCAL RECORDS	237,249	354,432	208,373	208,373
GRAND TOTAL	690,577	968,412	640,038	640,038
	=====	=====	=====	=====

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PROGRAM DECISION ITEM
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DECISION ITEM RANK 002
DECISION ITEM NO. 018 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		34,012	34,012
LOCAL RECORDS		26,222	26,222
TOTAL PERSONAL SERVICE		60,234	60,234
TOTAL DECISION ITEM		60,234	60,234

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

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DECISION ITEM NO.		018

STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The State Archives of the Office of the Secretary of State has identified the following strategic issue and goals that affect its delivery of services.

- A. Human resource management and development (SOS Plan, page 18)
- Reward quality performance and professionalism
 - Maintain a competitive compensation program

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.

PROGRAM DECISION ITEM ANALYSIS FORM 5

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DECISION ITEM NO. <u>018</u>		

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Personnel of the Office of the Secretary of State will: - Have appropriate skills - Improve and expand public services - Continue in state government service				
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Current level of services will be maintained				

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4%

<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>
General Revenue	\$850,348	\$34,012
Local Records	\$655,521	\$26,222

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PERSONAL SERVICES
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GOVERNOR
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DECISION ITEM RANK 002
 DECISION ITEM NO. 018 NAME: WITHIN GRADE

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	ACTUAL EXPENDITURE FTE	AMOUNT	FUNDED POSITIONS FTE	AMOUNT	REQUEST FTE	AMOUNT	RECOMMENDS FTE	AMOUNT
LOCAL RECORDS DIRECTOR					1.00	1,688	1.00	1,688
RECORDS/ARCHIVES DIRECTOR					1.00	2,032	1.00	2,032
ADMINISTRATIVE SECRETARY					2.00	1,725	2.00	1,725
STATE ARCHIVIST					1.00	2,155	1.00	2,155
ASSISTANT STATE ARCHIVIST					1.00	1,372	1.00	1,372
ANALYST SUPERVISOR					1.00	1,194	1.00	1,194
MICROFILM SUPERVISOR					1.00	1,194	1.00	1,194
RECORDS ANALYST I					2.00	1,698	2.00	1,698
RECORDS CLERK I					4.00	2,692	4.00	2,692
CAMERA OPERATOR I					11.00	7,517	11.00	7,517
CAMERA OPERATOR II					2.00	1,561	2.00	1,561
CLERK TYPIST II					5.00	3,454	5.00	3,454
CLERK TYPIST III					2.00	1,657	2.00	1,657
ARCHIVIST					13.00	13,784	13.00	13,784
PART-TIME SUMMER					1.20	159	1.20	159
PART-TIME OTHER					2.30	998	2.30	998
WAREHOUSE SUPERVISOR					1.00	1,027	1.00	1,027
CONTROL CENTER CLERK					1.00	765	1.00	765
FISCAL GRANTS OFFICER					1.00	1,078	1.00	1,078
CONSERVATOR I					1.00	923	1.00	923
CONSERVATOR II					2.00	2,241	2.00	2,241
CAMERA OPERATOR III					1.00	806	1.00	806
SENIOR ARCHIVIST					1.00	1,117	1.00	1,117
CLERK I					1.00	635	1.00	635
PROJECT COORDINATOR					1.00	871	1.00	871
SENIOR CONSERVATOR					1.00	1,347	1.00	1,347
ELECTRONIC RECORDS ANALYST					2.00	2,147	2.00	2,147
ADMIN PROGRAMS COORDINATOR					1.00	1,128	1.00	1,128
ELECTRONIC RECORDS COORDINATOR					1.00	1,269	1.00	1,269
FUND SUBTOTAL								
GEN REV FUND					40.26	34,012	40.26	34,012
LOCAL RECORDS					25.24	26,222	25.24	26,222
FORM 6 SUBTOTAL					65.50	60,234	65.50	60,234
TOTAL DECISION								
GEN REV FUND					40.26	34,012	40.26	34,012

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DECISION ITEM RANK 002
DECISION ITEM NO. 018 NAME: WITHIN GRADE

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DECISION ITEM RANK 006
DECISION ITEM NO. 033 NAME: LOCAL RECORDS ARCHIVIST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
LOCAL RECORDS		32,520	32,520
TOTAL PERSONAL SERVICE		32,520	32,520
EXPENSE & EQUIPMENT			
LOCAL RECORDS		5,790	5,790
TOTAL EXPENSE & EQUIP		5,790	5,790
TOTAL DECISION ITEM		38,310	38,310
NO. EMPLOYEE FTE		1.00	1.00

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: LOCAL RECORDS ARCHIVIST	PAGE
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DECISION ITEM NO.		<u>033</u>

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.
- A. Provide quality customer service (SOS strategic plan, page 9)
 - To maintain our compliance with RSMo 109 in providing problem-solving and value-added work in records management and archives services to Missouri's local governments
 - B. Enhance information access (SOS strategic plan, page 10)
 - To enhance access to public information held by the SOS/Local Records and links to other local and community networks
 - C. Preservation and archiving of public information (SOS strategic plan, page 12)
 - Historical preservation that embraces techniques, standards, modes of accessibility, and technical assistance for the foundation in preservation of contemporary information, both paper and electronic
 - D. Leadership and expertise in information services (SOS strategic plan, page 14)
 - We exercise a model of leadership for local governments to improve the quality of their information service to citizens.
 - We provide expertise and build stronger relationships with local governments statewide.
 - E. Human resource management and development (SOS strategic plan, page 18)
 - Acquire the best set of skill sets to perform the operations of the Local Records Division

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Local Records Division of the Office of the Secretary of State has spent six years building a Local Records Program that is now reasonably mature in number of staff and program efforts of recycling user fee monies collected locally back into local government records management and archives services. These programs include on-site consultation, training of local government staff, producing computerized records planning inventories, performing preservation microfilming at MSIC, maintaining a conservation laboratory at MSIC, coordinating college interns and civic group volunteers working with field archivists in local government offices, a grant program (reviewed by the Missouri Historical Records Advisory Board) for 50-75 new records projects annually, and retention scheduling and review with the Local Records Board for the publishing of retention manuals for all local government offices. The maturity and success of the program requires additional administrative oversight for enhanced quality control across the board for personnel planning and evaluation for all programmatic work. This FTE will help maximize co-divisional planning with Local Records and between the State Archives and Local Records.

The tangible products of public information generated by the Local Records Program become state records in the State Archives. Our several efforts require enhanced planning that complements the long term management needs of our sister division, the State Archives, and the Office of the Secretary of State in general. Field work, agency outreach, appraisal and preparation of information for use by various governmental offices and citizen needs, and standards developed with the two records Boards all affect the quality of service rendered and the perception of public service. Without increased oversight, the enormous volume of public records currently being managed and generated by our divisions will only become less user friendly, more costly to manage in lost and duplicated labor, and a source of public dissatisfaction.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: LOCAL RECORDS ARCHIVIST	PAGE
LEVEL 2 STATE ARCHIVES		
LEVEL 3 LOCAL RECORDS DIVISION		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		006 OF 008
DECISION ITEM NO.		033

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? The objectives relate to all the strategic issues discussed in paragraph 1 above. - Objectives: - Provide the necessary administrative direction in budget, personnel evaluation, field work, agency outreach, and to our Missouri Historical Records Advisory Board and the Local Records Board to meet the expanded challenges in records technology - Refine planning and oversight of Local Records' various programmatic efforts that impact the Archives' holdings - Enhance SOS agency ability to responsibly serve the public. - Strategy: Hire a qualified administrative archivist to work in tandem with the Local Records director, the State Archives administrators, the Local Records field archivists, and with elected officials to refine the level of appraisal and preparation of collections for ultimate public disposition. The administrative archivist will contribute toward the standardization of information management in local governments which will increase efficiency and satisfaction at the local and state agency level as well as enhance citizen participation in work with public information.				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Additional consultations on-site in local government offices per year	0	0	50	50
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
The administrative archivist will plan costs, evaluate inventory planning for local government officials, evaluate cost-efficiencies in field archivist assignments, provide on-site planning with field archivists that will coordinate with information needs at MSIC and the State Archives, and help prioritize records work at grant workshops and with volunteer civic groups working with local governments.				

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM:	PAGE
LEVEL 2 STATE ARCHIVES	LOCAL RECORDS ARCHIVIST	
LEVEL 3 LOCAL RECORDS DIVISION		
LEVEL 4	DECISION ITEM RANK <u>006</u> OF <u>008</u>	
LEVEL 5	DECISION ITEM NO. <u>033</u>	

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

This request is for 1.00 FTE for a supervisory position to oversee and monitor the work of other archivists in the Local Records Division

The following costs are associated with this decision item. E&E costs were taken from the OA guidelines for expense and equipment except for the costs associated with a personal computer and software, where an SOS standard office configuration was used to ensure compatibility .

Personnel services:

Administrative Archivist Range 28, Step C	\$32,520	1.0 FTE
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Expense and equipment

Professional one-time expenses:

Chair	\$245	
Sidechair	\$125	
Systems furniture	\$2,500	
Calculator	\$60	
PC (SOS standard)	<u>\$2,560</u>	
	\$5,490	

Professional ongoing expenses:

Office supplies	\$300	
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TOTAL	\$38,310	
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All costs are from the Local Records Fund

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-STATE ARCHIVES
 LEVEL 4
 LEVEL 5
 LEVEL 6

23158

PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 006
 DECISION ITEM NO. 033 NAME: LOCAL RECORDS ARCHIVIST

GOVERNOR
 PAGE

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	FTE	ACTUAL EXPENDITURE AMOUNT	FTE	FUNDED POSITIONS AMOUNT	FTE	REQUEST AMOUNT	FTE	RECOMMENDS AMOUNT
SENIOR REFERENCE ARCHIVIST					1.00	32,520	1.00	32,520
FUND SUBTOTAL								
LOCAL RECORDS					1.00	32,520	1.00	32,520
FORM 6 SUBTOTAL					1.00	32,520	1.00	32,520
TOTAL DECISION								
LOCAL RECORDS					1.00	32,520	1.00	32,520
GRAND TOTAL					1.00	32,520	1.00	32,520

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-STATE ARCHIVES 23158
 LEVEL 4
 LEVEL 5
 LEVEL 6

EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
 PAGE

DECISION ITEM RANK 006
 DECISION ITEM NO. 033 NAME: LOCAL RECORDS ARCHIVIST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
OFFICE EXPENSE			300	300
OFFICE & COMM EQUIP PURCHASE			2,930	2,930
DATA PROC EXPENSE & EQUIPMENT	-----	-----	2,560	2,560
TOTAL EQUIPMENT			5,790	5,790
SOURCE OF FUND SUMMARY				
LOCAL RECORDS			5,790	5,790
GRAND TOTAL	=====	=====	5,790	5,790

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-STATE ARCHIVES 23158
 LEVEL 4
 LEVEL 5
 LEVEL 6

PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 006
 DECISION ITEM NO. 034 NAME: ARCHIVES ARCHIVIST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		25,524	25,524
TOTAL PERSONAL SERVICE		25,524	25,524
EXPENSE & EQUIPMENT			
GENERAL REVENUE		5,790	5,790
TOTAL EXPENSE & EQUIP		5,790	5,790
TOTAL DECISION ITEM		31,314	31,314
NO. EMPLOYEE FTE		1.00	1.00

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: ARCHIVIST	PAGE
LEVEL 2 STATE ARCHIVES		
LEVEL 3		
LEVEL 4		
LEVEL 5		
		DECISION ITEM RANK <u>006</u> OF <u>008</u>
		DECISION ITEM NO. <u>034</u>

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Enhance information access (SOS strategic plan, page 10) - Maintain statutory compliance with RSMo 109 requirements to provide the citizens of Missouri with access to public information				
2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. The State Archives serves as the repository of approximately 70,000 cubic feet of records of permanent value created by the six statewide elected officials and the 976 state agencies, boards, and commissions. The volume of these records delivered to the Archives for permanent retention grows each year, yet the Archives has no archivist responsible for gaining intellectual control over these materials. Approximately two-thirds of these records have not been fully appraised or do not have adequate finding aids and remain effectively unknown to the public. This request is for an archivist position to begin to process those records. The funding of this position is insufficient to redress a problem of this magnitude. Funding this position, however, will allow the Archives to make some prioritized records collections available and help the citizens of Missouri have access to some of the essential information about the workings of their government, the history of their state, and the knowledge of their family heritage.				
3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? Objectives: - Process a body of state documents selected for their importance to the citizens of Missouri and the operations of state government - Appraise the documents delivered to the Archives by elected officials and state agencies as to their value as permanent documents - Organize these documents and create a finding aid to make them accessible to the public. Strategies: - Hire an additional archivist to process approximately 200 cubic feet of documents per year and to create a finding aid to those documents				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. The new archivist should be able to make available to the public between one and two hundred cubic feet of material each year. This figure will depend on the nature of the records chosen and whether the archivist is supported by processing clerks, who could handle the necessary labor-intensive but unskilled preparatory work.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
	0	0	200 cu.ft.	200 cu.ft.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	SECRETARY OF STATE	NAME OF DECISION ITEM: ARCHIVIST	PAGE		
LEVEL 2	STATE ARCHIVES				
LEVEL 3					
LEVEL 4					
LEVEL 5					
		DECISION ITEM RANK	006	OF	008
		DECISION ITEM NO.	034		

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999																			
The Archives would be able to provide the citizens of Missouri with an additional one to two hundred cubic feet of the records they most want to see.																							
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. The following costs are associated with this decision item. E&E costs were taken from the OA guidelines for expense and equipment except for the costs associated with a personal computer and software, where an SOS standard office configuration was used to ensure compatibility. Personnel Services <table> <tr> <td>Archivist (Range 22, step C)</td> <td>\$25,524</td> <td>1.0 FTE</td> </tr> </table> Expense and Equipment Professional one-time expenses: <table> <tr> <td>Chair</td> <td>\$245</td> </tr> <tr> <td>Sidechair</td> <td>\$125</td> </tr> <tr> <td>Systems furniture</td> <td>\$2,500</td> </tr> <tr> <td>Calculator</td> <td>\$60</td> </tr> <tr> <td>PC (SOS standard)</td> <td><u>\$2,560</u></td> </tr> <tr> <td></td> <td>\$5,490</td> </tr> </table> Professional ongoing expenses: <table> <tr> <td>Office supplies</td> <td>\$300</td> </tr> </table> Total <table> <tr> <td></td> <td>\$31,314</td> </tr> </table>					Archivist (Range 22, step C)	\$25,524	1.0 FTE	Chair	\$245	Sidechair	\$125	Systems furniture	\$2,500	Calculator	\$60	PC (SOS standard)	<u>\$2,560</u>		\$5,490	Office supplies	\$300		\$31,314
Archivist (Range 22, step C)	\$25,524	1.0 FTE																					
Chair	\$245																						
Sidechair	\$125																						
Systems furniture	\$2,500																						
Calculator	\$60																						
PC (SOS standard)	<u>\$2,560</u>																						
	\$5,490																						
Office supplies	\$300																						
	\$31,314																						

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**GOVERNOR
PAGE**

DECISION ITEM RANK 006
DECISION ITEM NO. 034 NAME: ARCHIVES ARCHIVIST

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	ACTUAL	EXPENDITURE	FUNDED POSITIONS		REQUEST		RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
ARCHIVIST					1.00	25,524	1.00	25,524
FUND SUBTOTAL					1.00	25,524	1.00	25,524
GEN REV FUND					1.00	25,524	1.00	25,524
FORM 6 SUBTOTAL					1.00	25,524	1.00	25,524
TOTAL DECISION								
GEN REV FUND					1.00	25,524	1.00	25,524
GRAND TOTAL					1.00	25,524	1.00	25,524

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-STATE ARCHIVES 23158
 LEVEL 4
 LEVEL 5
 LEVEL 6

EXPENSE AND EQUIPMENT
FORM 7

GOVERNOR
PAGE

DECISION ITEM RANK 006
 DECISION ITEM NO. 034 NAME: ARCHIVES ARCHIVIST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
OFFICE EXPENSE			300	300
OFFICE & COMM EQUIP PURCHASE			2,930	2,930
DATA PROC EXPENSE & EQUIPMENT	-----	-----	2,560	2,560
TOTAL EQUIPMENT			5,790	5,790
SOURCE OF FUND SUMMARY				
GEN REV FUND			5,790	5,790
GRAND TOTAL	=====	=====	5,790	5,790

LEVEL 1 SECRETARY OF STATE
LEVEL 2 OFFICE OF SECRETARY OF STATE
LEVEL 3 SEC OF STATE-STATE ARCHIVES 23158
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PROGRAM DECISION ITEM
FORM 5

GOVERNOR
PAGE

DECISION ITEM RANK 006
DECISION ITEM NO. 035 NAME: RECORDS MNGMT USED FORKLIFT

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT GENERAL REVENUE		28,300	28,300
TOTAL EXPENSE & EQUIP		28,300	28,300
TOTAL DECISION ITEM		28,300	28,300

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: USED FORKLIFT AND EQUIPMENT	PAGE		
LEVEL 2 STATE ARCHIVES				
LEVEL 3 RECORDS MANAGEMENT				
LEVEL 4				
LEVEL 5				
DECISION ITEM RANK		006	OF	008
DECISION ITEM NO.		035		

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

A. Provide quality customer service (SOS strategic plan, page 9)

- Service customer requests for files in a timely manner

B. Enhance access to public information (SOS strategic plan, page 10)

- Process records in the satellite records center effectively and efficiently so they become accessible more quickly

C. Preservation and archiving of public information (SOS strategic plan, page 12)

- Maximize storage space in the satellite records center
- Process records for retention and destruction more efficiently

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

In 1995, the Records Management Division of the Office of the Secretary of State opened a satellite records center about 2 miles from the Missouri State Information Center. As this center comes to maturity, more records will need to be handled more frequently, both in-coming and out-going.

Handling records in bulk, 50 cubic feet at a time, accomplishes in one function what it would take 10 functions to do with a 2-wheel dolly. It allows constituent agencies to be served more quickly and allows increased personal productivity. Bulk space productivity is at least doubled.

The more quickly bulk shipments are located in the center and records to be destroyed are moved out of the center, the more time is devoted to servicing the 75,000 individual file requests for individual agencies.

Not funding this request will result in inefficiency and lost personal productivity.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: USED FORKLIFT AND EQUIPMENT	PAGE		
LEVEL 2 STATE ARCHIVES				
LEVEL 3 RECORDS MANAGEMENT				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	006	OF	008
	DECISION ITEM NO.	035		

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

These objectives support the strategic issues in paragraph 1 above.

- **Objectives:**
 - Move records around and through the satellite records center 10 times more quickly
 - Double floor space capacity of bulk and aisle areas
 - Utilize savings in time and labor to provide faster response to customer requests for files
- **Strategies:**
 - Purchase a used forklift, charger, and associated equipment to allow better utilization of space and personnel resources
 - Move records in bulk (50 cubic foot pallets) to reduce handling time
 - Double or triple stack pallets to maximize use of floor space
 - Utilize savings in labor for customer services

By moving records in bulk with a forklift, more can be accomplished in less time than what a person can do manually. Records are moved 10 times more quickly around and through the center, upload and off load. Shipments of inactive and semi-active records are received in bulk from state agencies. Bulk records are broken into individual boxes which are then placed on the shelves. Individual file requests are then pulled from the shelves and returned to state agencies as requested. Approximately 50,000 of these files are returned to be re-filed. When ready for destruction, the records are "re-bulked" and sent to a recycler. Time savings are captured and reallocated to servicing individual agency requests.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Percentage of time spent on storage	25%	29%	23%	19%
Percentage of time spent on processing records requests	75%	71%	77%	81%
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Records stored (cubic feet)	9,839	24,839	41,039	59,040
Individual agency requests processed	4,919	12,420	20,525	29,515

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: USED FORKLIFT AND EQUIPMENT	PAGE		
LEVEL 2 STATE ARCHIVES				
LEVEL 3 RECORDS MANAGEMENT				
LEVEL 4				
LEVEL 5				
DECISION ITEM RANK		006	OF	008
DECISION ITEM NO.		035		

6. **COST EXPLANATION** - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Expense and equipment

Used electric forklift and battery charger	\$20,000
(2) Battery packs (\$4,000 each)	\$8,000
Wiring for charger	\$300

Total	\$28,300
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Equipment costs were calculated by contacting materials handling equipment suppliers, obtaining price estimates, and comparing equipment capabilities.

Material handling equipment must be electric or manual. Gasoline or propane-powered moving equipment is not feasible in an enclosed center filled with over 180,000 cubic feet of paper. Usage is considered light to normal versus normal to heavy. Therefore, a used unit can be utilized and obtained for about 2/3 (66%) the cost of a new unit.

Battery packs were priced at \$4,000 with replacement scheduled in 5 to 6 years. The cost of electric re-charge is the only other expenditure required.

This is a one-time budget request from General Revenue.

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-STATE ARCHIVES 23158
 LEVEL 4
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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
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DECISION ITEM RANK 006
 DECISION ITEM NO. 035 NAME: RECORDS MNGMT USED FORKLIFT

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
INST & PHYS PLANT EQUIP PURCH	-----	-----	28,300	28,300
TOTAL EQUIPMENT	-----	-----	28,300	28,300
SOURCE OF FUND SUMMARY			28,300	28,300
GEN REV FUND			28,300	28,300
GRAND TOTAL	=====	=====	28,300	28,300

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
 LEVEL 3 SEC OF STATE-STATE ARCHIVES 23158
 LEVEL 4
 LEVEL 5
 LEVEL 6

PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 006
 DECISION ITEM NO. 036 NAME: RECORDS CENTER SHELVING

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT			
GENERAL REVENUE		65,550	65,550
TOTAL EXPENSE & EQUIP		65,550	65,550
TOTAL DECISION ITEM		65,550	65,550

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SATELLITE RECORDS CENTER SHELVING	PAGE
LEVEL 2 STATE ARCHIVES		
LEVEL 3 RECORDS MANAGEMENT		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		006 OF 008
DECISION ITEM NO.		036

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

- A. Provide quality customer service (SOS strategic plan, page 9)
 - Service customer requests for files in a timely manner
- B. Enhance access to public information (SOS strategic plan, page 10)
 - Store state records in a manner that makes them more accessible
- C. Preservation and archiving of public information (SOS strategic plan, page 12)
 - Provide adequate storage facilities for state records awaiting processing
 - Maximize storage space in the satellite records center

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

In 1995, the Records Management Division established a satellite records center in Jefferson City to service the additional records storage requirements for state agencies in the Executive Branch of state government. This center was opened at minimal cost using conservative estimates for fixture. The decision was made to request shelving based upon demand rather than to buy shelving that would sit unused for several years.

A new decision item in the SOS FY 1996 budget request was for a 4-year shelving project to fixture the building leased for the satellite center. It was scheduled to be filled at the end of 5 years based upon a projection of 12,000 cubic feet of records per year. The shelving project was approved for \$47,500 and 135 shelves for each of the 4 years. This amount was barely sufficient to meet the annual storage requirements and did not take into account the fifth year of storage needs. However, based upon experience with this leased building, the estimated amount of storage capacity has been increased to 954 shelving units or 354 more units than originally planned. This will provide shelving for the fifth year and additional capacity to meet increased demands for storage space. By configuring the building at this increased level, the need for additional leased storage space will be reduced by approximately 15,000 cubic feet. If this shelving is not bought, records will become inaccessible to agencies because it will not be possible to adequately store or retrieve the records. Records will "back up" in state offices and the state will not be efficiently utilizing a leased building. This is the third year of the 4-year project. Funding is requested to purchase these additional shelving units over the final 2 years of the project.

There is also a requirement for rolling ladders to provide the capability to retrieve individual files from the shelving units. These shelving units will provide approximately 12 rows of storage. A ladder is requested for every 2 rows for a total of six rolling ladders.

The division provides storage, retrieval, and re-file services for all departments in the Executive Branch of state government, and to the Legislative and Judicial branches upon request. Records storage demand has a historical track record of 30,000 cubic feet of in-flow per year, and net out-flow of approximately 12,000 cubic feet, or a net growth of about 20,000 cubic feet. The requested amount equates to 26,000 cubic feet of storage.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SATELLITE RECORDS CENTER SHELVING	PAGE		
LEVEL 2 STATE ARCHIVES				
LEVEL 3 RECORDS MANAGEMENT				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	006	OF	008
		DECISION ITEM NO.	036	

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? The objectives support the strategic issues in paragraph 1 above. - Objectives: - Provide additional shelf space to meet customer demands for records storage - Effectively utilize leased storage space - Make records more accessible through dedicated shelf storage - Strategies: - Purchase and install 354 additional shelving units over the remaining 2 years of the project - Acquire 6 rolling ladders to provide for efficient retrieval of individual files				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Storage space utilization (Will provide coverage of 95% of capacity) This is related to a new decision item for a forklift	20%	35%	67%	100%
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Cubic feet of records storage (78 cubic feet per fixture)	14,898	26,052	49,920	74,412

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SATELLITE RECORDS CENTER SHELVING	PAGE _____
LEVEL 2 STATE ARCHIVES		
LEVEL 3 RECORDS MANAGEMENT		
LEVEL 4	DECISION ITEM RANK	<u>006</u> OF <u>008</u>
LEVEL 5	DECISION ITEM NO.	<u>036</u>

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Expense and equipment

177 Shelving units x \$350 each =	\$61,950
6 Rolling ladders x \$600 each =	\$3,600
 Total	 \$65,550

Shelving units currently cost \$350 each from Missouri Correctional Enterprises. Life expectancy is over 40 years. A similar amount will be requested next year (FY 99) to complete the final year of the project. A small amount of funding may be needed in FY 2000. All funds are from General Revenue.

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DECISION ITEM RANK 006
 DECISION ITEM NO. 036 NAME: RECORDS CENTER SHELVING

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
INST & PHYS PLANT EQUIP PURCH	-----	-----	65,550	65,550
TOTAL EQUIPMENT			65,550	65,550
SOURCE OF FUND SUMMARY				
GEN REV FUND			65,550	65,550
GRAND TOTAL	=====	=====	65,550	65,550

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DECISION ITEM RANK 006
DECISION ITEM NO. 037 NAME: RECORDS MNGMT DENSITOMETER

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT GENERAL REVENUE		3,000	3,000
TOTAL EXPENSE & EQUIP		3,000	3,000
TOTAL DECISION ITEM		3,000	3,000

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: DENSITOMETER	PAGE
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LEVEL 3	RECORDS MANAGEMENT		
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1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Provide quality customer service (SOS strategic plan, page 9) - Provide quality microfilming services for state and local agencies B. Preservation and archiving of public information (SOS strategic plan, page 12) - Produce microfilm for storage that meets the American National Standards Institute quality control standards for density
2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. The Records Management Division of the Office of the Secretary of State provides microfilming services for state and local agencies. Part of the production process is to perform quality control on the produced microfilm for density (blacks, whites, and shades of gray). There are standards promulgated by the American National Standards Institute which must be met on each roll of microfilm produced. The ANSI standard guarantees that the film will maintain a permanent quality of readability and reproducibility that is acceptable as legal evidence in a court of law. About 5,700 rolls are produced and checked each year. Our current densitometer is 12 years old and needs to be serviced frequently for calibration and parts. It should be relegated to a back-up status and a new state of the art densitometer should be purchased if we are to continue to provide agencies with top quality microfilm. If we do not procure a new unit, we will experience excessive down time (the unit must be mailed for repairs) resulting in a backlog, or worse, be out of specifications and not know it, resulting in the production of microfilms that do not meet ANSI standards. Microfilm not passing density must be refiled, resulting in the loss of film and camera operator labor.
3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? The objectives support both of the strategic issues in paragraph 1 above. - Objectives: - Produce top quality microfilm for storage purposes and for our customers and supported agencies - Immediately reduce the microfilming backlog and the cost of lost microfilm and camera operator labor - Strategies: - Purchase a new densitometer while retaining the current model as a backup for times of maintenance and repair. The new unit will allow us to continue to produce top quality microfilm, only one of several checks and quality measures utilized in microfilm production. This unit will allow us to check the density on both silver (original) and diazo (duplicate) microfilm - current unit measures only original (silver) microfilm.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: DENSITOMETER	PAGE _____
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4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Reels of non-standard microfilm produced	78	104	140	160
Average microfilming backlog waiting to be inspected	1000	1100	1000	950
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Reels of quality microfilm produced	4974	5400	7000*	8000*
* Rolls inspected dramatically increase as Archives Judicial Records Preservation Fund becomes active				
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.				
Expense and equipment Densitometer \$3,000				
The cost of this equipment was calculated by calling manufacturers, studying features and benefits of various densitometers, and comparing prices. Cost is one-time from General Revenue.				

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DECISION ITEM RANK 006
 DECISION ITEM NO. 037 NAME: RECORDS MNGMT DENSITOMETER

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
INST & PHYS PLANT EQUIP PURCH	-----	-----	3,000	3,000
TOTAL EQUIPMENT			3,000	3,000
SOURCE OF FUND SUMMARY				
GEN REV FUND			3,000	3,000
GRAND TOTAL	=====	=====	3,000	3,000

BUSINESS SERVICES

LEVEL 1 SECRETARY OF STATE
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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	3 / 8 ATHLET AGENT REGISTRATION	3 / 8 CORPORATE COUNSEL	TOTAL
PERSONAL SERVICES GENERAL REVENUE	1,153,585	1,242,618	1,242,550 <1,258,777 >	49,702 <49,702 >	7,968 <7,968 >	35,520 <35,520 >	
TOTAL	1,153,585	1,242,618	1,242,550 <1,258,777 >	49,702 <49,702 >	7,968 <7,968 >	35,520 <35,520 >	
EXPENSE AND EQUIPMENT GENERAL REVENUE	372,636	379,022	301,260 <301,260 >		5,725 <5,725 >		
TOTAL	372,636	379,022	301,260 <301,260 >		5,725 <5,725 >		
GRAND TOTAL	1,526,221	1,621,640	1,543,810 <1,560,037 >	49,702 <49,702 >	13,693 <13,693 >	35,520 <35,520 >	
SOURCE OF FUNDS SUMMARY GENERAL REVENUE	1,526,221	1,621,640	1,543,810 <1,560,037 >	49,702 <49,702 >	13,693 <13,693 >	35,520 <35,520 >	
NO. EMPLOYEE FTES	60.61	63.35	63.35 <63.35>		.50 <.50>	1.00 <1.00>	

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DECISION ITEM FINANCIAL SUMMARY
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	4 / 8 ANNUAL REPOR CLERKS	TOTAL
PERSONAL SERVICES				
GENERAL REVENUE			43,092 <43,092 >	1,378,832 <1,395,059 >
TOTAL			43,092 <43,092 >	1,378,832 <1,395,059 >
EXPENSE AND EQUIPMENT				
GENERAL REVENUE				306,985 <306,985 >
TOTAL				306,985 <306,985 >
GRAND TOTAL			43,092 <43,092 >	1,685,817 <1,702,044 >
SOURCE OF FUNDS SUMMARY				
GENERAL REVENUE			43,092 <43,092 >	1,685,817 <1,702,044 >
NO. EMPLOYEE FTES			3.00 <3.00>	67.85 <67.85>

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PROGRAM DECISION ITEM
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DECISION ITEM RANK 001
DECISION ITEM NO. 003 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE	1,242,618	1,242,550	1,258,777
TOTAL PERSONAL SERVICE	1,242,618	1,242,550	1,258,777
EXPENSE & EQUIPMENT			
GENERAL REVENUE	379,022	301,260	301,260
TOTAL EXPENSE & EQUIP	379,022	301,260	301,260
TOTAL DECISION ITEM	1,621,640	1,543,810	1,560,037
NO. EMPLOYEE FTE	63.35	63.35	63.35

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

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LEVEL 5	DECISION ITEM RANK	001	OF	008
		DECISION ITEM NO.	003	

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Business Services Department of the Office of the Secretary of State has identified seven strategic issues and numerous goals that affect its core delivery of services. These include:

- A. Provide quality customer service (SOS strategic plan, page 9)
 - Deliver responsive and timely service to business and financial customers
 - Reduce processing time and peak period backlogs for annual reports and franchise tax returns
 - Emphasize courtesy and mutual respect to all customers
- B. Enhance information access (SOS strategic plan, page 10)
 - Improve information services to allow customers on-line access to Corporations and Uniform Commercial Code records
 - Develop capability for customers to file business documents and tax returns electronically
 - Timely publication and circulation of information concerning changes in business laws
- C. Preservation and archiving (SOS strategic plan, page 12)
 - Develop improved methods for preserving permanent business records
- D. Provide leadership and expertise in business and information systems (SOS strategic plan, page 14)
 - Exercise leadership in developing systems that make it easier to do business in Missouri
 - Provide expertise on the changing business and financial laws
- E. Effectively utilize information technology (SOS strategic plan, page 15)
 - Upgrade automation of outdated operating systems
 - Implement the Information Strategic Plan to improve customer service and records storage functions
 - Maintain the office standard for automation
 - Improve employee technology skills
- F. Human resource management and development (SOS strategic plan, page 18)
 - Acquire and maintain the best mix of personnel skill sets to meet the operational requirements of this department
 - Reward quality performance and professionalism
- G. Manage changing legislative requirements (SOS strategic plan, page 19)
 - Proactively respond to changes in the statutory environment
 - Introduce and achieve new legislation needed to improve SOS ability to meet constitutional obligations

PROGRAM DECISION ITEM ANALYSIS FORM 5

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DECISION ITEM NO.	<u>003</u>		

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the continued operation of Department programs, which include:

- The registration of all corporations and non-profit organizations operating within the state of Missouri. This includes collecting and reviewing corporation annual reports, handling inquiries concerning the registration status of corporations, listing fictitious names, and terminating the registration of corporations not in compliance with Missouri statutes and regulations. This relates to strategic issues A, B, C, D, E, and F. Priority outcomes for FY98 include:
 - Implementation of the Information Strategic Plan to upgrade automation equipment and the business services database. This will improve responsiveness to customer requests, make it easier for customers to file reports, and simplify records storage and retrieval.
 - The timely receipt and filing of all corporation annual reports. This establishes the database for other inquiries and provides revenues of approximately \$8 million for the state.
 - Accurate and timely response to customer inquiries for corporate information. Provides services statutorily required for Missouri corporations and generates revenue for the state.
- The collection of franchise taxes from corporations operating within the state of Missouri. This includes determining which corporations are required to pay franchise taxes, tax collection, auditing tax returns, and determination of penalties and late fees. This relates to strategic issues A, B, C, and E. Priority outcomes include:
 - Collecting all franchise tax due to the state of Missouri. This is a significant revenue source for the state.
 - Improving information systems to fully interact with business services databases to determine who is required to pay franchise taxes.
- Filing and maintaining a record of all transactions that create a secured interest in personal property or fixtures located in the state of Missouri as required by the Uniform Commercial Code. This includes filing time sensitive financing statements and certifying the establishment of security interests on property. This relates to strategic issues A, B, and E. Priority outcomes include:
 - Accurately processing all UCC document filings. This produces revenues of approximately \$1.4 million.
 - Upgrading aging information systems to interact with other office systems and provide better service to customers.
- Recording and certification of all commissions granted by the state of Missouri. This includes documenting and providing certificates to gubernatorial appointees and maintaining a listing of notary publics and trademarks registered in the state. Relates to strategic issues A, C, and E. Priority outcomes for FY 1998 include:
 - Automation upgrade to replace aging equipment that will provide better service
 - Staff upgrades to handle increasing workload

PROGRAM DECISION ITEM ANALYSIS FORM 5

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3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

The Business Services Department has developed multiple goals and objectives in support of the identified strategic issues. The Office of the Secretary of State draft strategic plan provides additional information on those strategic issues. Selected high priority objectives include:

Issue #2 - Enhance information access

- Upgrade our automation system to allow Corporations and UCC information to be accessed on-line by customers. This will be accomplished by acquiring computer equipment and software to bring the department up to the office standard and by developing a format to put the information on-line for access by customers who use this information.
- Develop software programs that will work with the upgraded automation equipment to allow UCC and Corporation documents, franchise tax returns, and annual reports to be filed electronically. Software development will be contracted out. This will provide for greater convenience, faster processing, and more accurate information input.

Issue #5 - Effectively utilize information technology

- Improve operations by replacing the outdated operating system that contains the business service database. By acquiring a new system, maintenance problems will be decreased and the capability to allow on-line access will be provided.
- Implement the information strategic plan to develop an information system within the divisions of the business services department. This will improve customer service, simplify records storage, and allow effective interaction with the entire Office of the Secretary of State.

PROGRAM DECISION ITEM ANALYSIS FORM 5

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DECISION ITEM NO. <u>003</u>		

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Turnaround time for processing reports				
- Corporations - Annual reports - Other documents - Uniform Commercial Code - Franchise Tax	2-5 weeks 2-5 days 1-3 days 2-5 weeks 0%	2-5 weeks 2-5 days 1-3 days 2-5 weeks 0%	1-3 weeks 1 day 1 day 1-3 weeks 30%	1 week 1 day 1 day 1 week 50%
Reports filed electronically	0%	0%	30%	50%
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Franchise tax filings (approximately 35% file extensions)	37,700	40,000	42,000	44,000
Uniform Commercial Code filings	123,328	132,000	135,000	138,000
New corporations filed	17,016	18,000	19,000	20,000
Fictitious names registered	17,397	18,500	19,000	19,500
Amendments, mergers, dissolutions filed	8,828	10,000	12,000	14,000
Annual reports filed	128,649	130,000	132,000	134,000
Certificates of good standing prepared	28,093	29,500	30,200	31,000

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE		
LEVEL 2	BUSINESS SERVICES				
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LEVEL 4		DECISION ITEM RANK	001	OF	008
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6. **COST EXPLANATION** - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Core budget request. There were no one-time costs for FY 1997.

The Business Services Core was increased as a result of the transfer of Commissions Division from what was Government Services. This is a result of the reorganization taking place in FY 1997. Electronic data processing funds were also transferred to Administrative Services for information technology costs.

\$112,876 GR	Personal Service	Transfer of Commissions Division From Government Services
\$51,675 GR	Expense and Equipment	Transfer of Commissions Division From Government Services
(\$70,660) GR	Expense and Equipment	Transfer to Administrative Services for Electronic Data Processing

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PERSONAL SERVICES
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DECISION ITEM RANK 001
 DECISION ITEM NO. 003 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
ACCOUNTS CLERK II	.67	13,852			1.00	21,768	1.00	21,768
OFFICE SERVICES SUPERVISOR	.08	792						
DEP SEC OF STATE BUSINESS	1.00	49,920	1.00	52,915	1.00	52,812	1.00	52,812
COMMISSIONS DIRECTOR	1.00	37,032	1.00	39,248	1.00	39,180	1.00	39,180
ADMINISTRATIVE SECRETARY	2.00	39,348	2.00	41,671	2.00	41,628	2.00	41,628
CORPORATIONS DIRECTOR			1.00	41,210				
ANNUAL REPORTS SUPERVISOR	.83	17,500			1.00	22,224	1.00	22,224
ACCOUNT CLERK II	.33	6,728	2.00	44,357				
CLERK TYPIST I	.59	9,268						
CLERK TYPIST II	14.21	232,362	15.00	259,824	15.00	257,292	15.00	257,292
CLERK TYPIST III	7.72	138,821	7.00	133,267	8.00	151,668	8.00	151,668
FILE CLERK II			6.00	96,783				
FRANCHISE TAX SUPERVISOR	1.00	21,816	1.00	23,129	1.00	23,076	1.00	23,076
TAX ANALYST I	3.00	50,316			3.00	53,232	3.00	53,232
PART-TIME SUMMER	2.00	20,200	1.35	6,140	1.25	6,140	1.25	6,140
PART-TIME OTHER	.68	9,047	2.00	8,170	2.10	20,978	2.10	20,978
DIRECTOR FIELD OPERATIONS	3.00	93,530	3.00	95,944	3.00	91,092	3.00	91,092
FIELD REPRESENTATIVE II	8.09	141,635	9.00	169,681	9.00	163,764	9.00	163,764
CORPORATIONS REP. I	.83	14,480			2.00	36,108	2.00	36,108
CORPORATIONS REP. II	2.00	35,340			2.00	37,380	2.00	37,380
CORPORATIONS SUPVR	.17	3,501	1.00	22,260				
DATA KEY OPERATOR II	.17	3,000						
FILE CLERK III	2.00	38,088	2.00	40,376	2.00	40,296	2.00	40,296
UCC SUPERVISOR	.74	15,910	1.00	22,765	1.00	22,728	1.00	22,728
U.C.C. REPRESENTATIVE	.81	12,042						
TAX AUDIT ANALYST II			3.00	53,339				
ACCOUNT CLERK II	1.00	21,264			1.00	22,500	1.00	22,500
CLERK II	4.77	73,925			5.00	79,284	5.00	79,284
DIRECTOR CORPORATIONS	1.00	38,963			1.00	42,192	1.00	42,192
CORPORATIONS REP			4.00	74,303				
FIELD REP I	.92	14,905	1.00	17,236	1.00	17,208	1.00	17,208
FUND SUBTOTAL								
GEN REV FUND	60.61	1,153,585	63.35	1,242,618	63.35	1,242,550	63.35	1,242,550
FORM 6 SUBTOTAL	60.61	1,153,585	63.35	1,242,618	63.35	1,242,550	63.35	1,242,550

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PERSONAL SERVICES
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DECISION ITEM RANK 001
 DECISION ITEM NO. 003 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE	AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE	AMOUNT	BUDGET YEAR REQUEST FTE	AMOUNT	GOVERNOR RECOMMENDS FTE	AMOUNT
FLEXIBLE BENEF GEN REV FUND								3,801
COST OF LIVING GEN REV FUND								12,426
TOTAL DECISION GEN REV FUND	60.61	1,153,585	63.35	1,242,618	63.35	1,242,550	63.35	1,258,777
GRAND TOTAL	60.61	1,153,585	63.35	1,242,618	63.35	1,242,550	63.35	1,258,777

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EXPENSE AND EQUIPMENT
 FORM 7

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DECISION ITEM RANK 001
 DECISION ITEM NO. 003 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	6,311	9,645	9,645	9,645
OFFICE EXPENSE	75,418	117,575	116,823	116,823
OFFICE AND COMM EQUIP PURCHASE	23,862	10,650	10,650	10,650
COMMUNICATIONS EXPENSE	24,971	61,300	63,250	63,250
INST AND PHYS PLANT EXPENSE	228			
INST & PHYS PLANT EQUIP PURCH	448	800	800	800
DATA PROC EXPENSE & EQUIPMENT	60,292	144,857	65,897	65,897
PROFESSIONAL SERVICES	170,343	21,180	21,180	21,180
OTHER EXPENSES	10,763	13,015	13,015	13,015
TOTAL EQUIPMENT	372,636	379,022	301,260	301,260
SOURCE OF FUND SUMMARY				
GEN REV FUND	372,636	379,022	301,260	301,260
GRAND TOTAL	372,636	379,022	301,260	301,260

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DECISION ITEM RANK 002
DECISION ITEM NO. 019 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE GENERAL REVENUE		49,702	49,702
TOTAL PERSONAL SERVICE		49,702	49,702
TOTAL DECISION ITEM		49,702	49,702

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

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DECISION ITEM RANK		002 OF 008
DECISION ITEM NO.		019

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Business Services Department of the Office of the Secretary of State has identified the following strategic issue and goals that affect its delivery of services.

- A. Human resource management and development (SOS Plan, page 18)
- Reward quality performance and professionalism
 - Maintain a competitive compensation program

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE
LEVEL 2 BUSINESS SERVICES		
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LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		002 OF 008
DECISION ITEM NO.		019

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.										
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Personnel of the Office of the Secretary of State will: - Have appropriate skills - Improve and expand public services - Continue in state government service	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999						
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999						
Current level of services will be maintained										
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4% <table border="1"> <thead> <tr> <th>Fund</th> <th>FY 1997 PS Core</th> <th>Within Grade Increase</th> </tr> </thead> <tbody> <tr> <td>General Revenue</td> <td>\$1,242,550</td> <td>\$49,702</td> </tr> </tbody> </table>					Fund	FY 1997 PS Core	Within Grade Increase	General Revenue	\$1,242,550	\$49,702
Fund	FY 1997 PS Core	Within Grade Increase								
General Revenue	\$1,242,550	\$49,702								

LEVEL 1 SECRETARY OF STATE
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PERSONAL SERVICES
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GOVERNOR
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DECISION ITEM RANK 002
 DECISION ITEM NO. 019 NAME: WITHIN GRADE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
ACCOUNT CLERK II					1.00	871	1.00	871
DEPUTY SEC STATE BUSINESS SVCS					1.00	2,112	1.00	2,112
COMMISSIONS DIRECTOR					1.00	1,567	1.00	1,567
ADMINISTRATIVE SECRETARY					2.00	1,665	2.00	1,665
ANNUAL REPORTS SUPERVISOR					1.00	889	1.00	889
CLERK TYPIST II					15.00	10,292	15.00	10,292
CLERK TYPIST III					8.00	6,067	8.00	6,067
FRANCHISE TAX SUPERVISOR					1.00	923	1.00	923
TAX ANALYST I					3.00	2,129	3.00	2,129
PART-TIME SUMMMER					1.25	246	1.25	246
PART-TIME OTHER					2.10	839	2.10	839
DIRECTOR FIELD OPERATIONS					3.00	3,644	3.00	3,644
FIELD REPRESENTATIVE II					9.00	6,551	9.00	6,551
CORPORATIONS REPRESENTATIVE I					2.00	1,444	2.00	1,444
CORPORATIONS REPRESENTATIVE II					2.00	1,495	2.00	1,495
FILE CLERK III					2.00	1,612	2.00	1,612
UCC SUPERVISOR					1.00	909	1.00	909
ACCOUNT CLERK					1.00	900	1.00	900
CLERK II					5.00	3,171	5.00	3,171
CORPORATIONS DIRECTOR					1.00	1,688	1.00	1,688
FIELD REPRESENTATIVE I					1.00	688	1.00	688
FUND SUBTOTAL					63.35	49,702	63.35	49,702
GEN REV FUND					63.35	49,702	63.35	49,702
FORM 6 SUBTOTAL					63.35	49,702	63.35	49,702
TOTAL DECISION					63.35	49,702	63.35	49,702
GEN REV FUND					63.35	49,702	63.35	49,702
GRAND TOTAL					63.35	49,702	63.35	49,702

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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
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DECISION ITEM RANK 003
 DECISION ITEM NO. 026 NAME: ATHLETE AGENT REGISTRATION

(1) PROBLEM(S):

5. COST SUMMARY	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
BUDGET CLASS/FUND			
PERSONAL SERVICE			
GENERAL REVENUE		7,968	7,968
TOTAL PERSONAL SERVICE		7,968	7,968
EXPENSE & EQUIPMENT			
GENERAL REVENUE		5,725	5,725
TOTAL EXPENSE & EQUIP		5,725	5,725
TOTAL DECISION ITEM		13,693	13,693
NO. EMPLOYEE FTE		.50	.50
6. PERFORMANCE MEASURE:			

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: ATHLETE AGENT REGISTRATION	PAGE
LEVEL 2 BUSINESS SERVICES		
LEVEL 3 CORPORATION DIVISION		
LEVEL 4		
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DECISION ITEM RANK		003 OF 008
DECISION ITEM NO.		026

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The new decision item for support of the athlete agent program supports several strategic issue for the Corporations Division of the Office of the Secretary of State. These are:

A. Provide quality customer service (SOS strategic plan, page 9)
- To register and monitor athlete agents operating in the state of Missouri

B. Respond to changing legislative requirements. (SOS strategic plan, page 19)
- To provide new services statutorily required of the Office of the Secretary of State

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

Young athletes from high school and college participate in numerous athletic events throughout this state. Some of these athletes who wish to go on and compete at the professional level retain agents to represent their interests. In order to protect these athletes, the Office of the Secretary of State will register and make readily available the names and addresses of the different athlete agents operating in this state.

The athlete agent program was established during the 1996 legislative session by SB-526, based upon fiscal note #1751-01N. This legislation was truly agreed and signed by the governor and the program became effective August, 1996.

This program creates the registration requirements of athlete agents operating in this state and charges the Office of the Secretary of State with the responsibility of agent registration. Each agent must register for a period of two years upon which the registration will need to be renewed or expire. The certifying of the registration and the necessary tracking will make it necessary to have a .5 FTE position available to better serve the public.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: ATHLETE AGENT REGISTRATION	PAGE _____
LEVEL 2 BUSINESS SERVICES		
LEVEL 3 CORPORATION DIVISION		
LEVEL 4	DECISION ITEM RANK	003 OF 008
LEVEL 5	DECISION ITEM NO.	026

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objective: Establish and maintain a registry of athlete agents and to notify the university or college as to the athlete agents who are registered with this office. It is expected that approximately 250 agents will register with this office biennially. These registrations will be received, reviewed for accuracy, filed, and entered into the computer which will keep an alphabetical log of each registrant. A certificate will be issued to the agent and a renewal notice and application sent to the agent before their present registration expires. The fee registration per agent is \$500, thus projecting revenue receipts of approximately \$62,500 per year. - Strategy: Hire a part-time Clerk Typist II to establish and maintain the athlete agent program				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Athlete agent registry established and maintained.	0	100%	100%	100%
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Agents registered: (Source: Information received from the University of Missouri and the NCAA.)	0	125	150	150

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	SECRETARY OF STATE	NAME OF DECISION ITEM:	PAGE
LEVEL 2	BUSINESS SERVICES	ATHLETE AGENT REGISTRATION	
LEVEL 3	CORPORATION DIVISION		
LEVEL 4		DECISION ITEM RANK	
LEVEL 5		<u>003</u> OF <u>008</u>	
		DECISION ITEM NO.	
		<u>026</u>	

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

The following costs are associated with this decision item. E&E costs were taken from the OA guidelines for expense and equipment except for the costs associated with a personal computer and software, where an SOS standard office configuration was used to ensure compatibility.

Personal Service:

Clerk Typist II (Range 9, Step C)	\$7,968	.50 FTE
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Expense & Equipment:

Clerical One Times:

Chair	\$180	
Side chair (1)	\$125	
Systems Furniture	\$2,500	
Calculator	\$60	
PC & Software	<u>\$2,560</u>	
	<u>\$5,425</u>	

Clerical Ongoing:

Office supplies	\$300	
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Total	\$13,693	
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PERSONAL SERVICES
 FORM 6

GOVERNOR
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DECISION ITEM RANK 003
 DECISION ITEM NO. 026 NAME: ATHLETE AGENT REGISTRATION

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	ACTUAL	EXPENDITURE	FUNDED	POSITIONS	REQUEST	AMOUNT	RECOMMENDS	AMOUNT
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
CLERK TYPIST II					.50	7,968	.50	7,968
FUND SUBTOTAL					.50	7,968	.50	7,968
GEN REV FUND					.50	7,968	.50	7,968
FORM 6 SUBTOTAL					.50	7,968	.50	7,968
TOTAL DECISION					.50	7,968	.50	7,968
GEN REV FUND					.50	7,968	.50	7,968
GRAND TOTAL					.50	7,968	.50	7,968

LEVEL 1 SECRETARY OF STATE
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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
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DECISION ITEM RANK 003
 DECISION ITEM NO. 026 NAME: ATHLETE AGENT REGISTRATION

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
OFFICE EXPENSE			300	300
OFFICE & COMM EQUIP PURCHASE			2,865	2,865
DATA PROC EXPENSE & EQUIPMENT	-----	-----	2,560	2,560
TOTAL EQUIPMENT			5,725	5,725
SOURCE OF FUND SUMMARY				
GEN REV FUND			5,725	5,725
GRAND TOTAL	=====	=====	5,725	5,725

LEVEL 1 SECRETARY OF STATE
LEVEL 2 OFFICE OF SECRETARY OF STATE
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PROGRAM DECISION ITEM
FORM 5

GOVERNOR
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DECISION ITEM RANK 003
DECISION ITEM NO. 027 NAME: CORPORATE COUNSEL

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE GENERAL REVENUE		35,520	35,520
TOTAL PERSONAL SERVICE		35,520	35,520
TOTAL DECISION ITEM		35,520	35,520
NO. EMPLOYEE FTE		1.00	1.00

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: CORPORATE COUNSEL	PAGE
LEVEL 2 BUSINESS SERVICES		
LEVEL 3 CORPORATION DIVISION		
LEVEL 4		
LEVEL 5		
		DECISION ITEM RANK <u>003</u> OF <u>008</u>
		DECISION ITEM NO. <u>027</u>

1.	STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed.
A.	Provide quality customer service (SOS strategic plan, page 9) - To provide additional legal support and supervision of the registration of corporations and various business entities in the state of Missouri
B.	Respond to legislative requirements. (SOS strategic plan, page 19) - To provide services statutorily required of the Office of the Secretary of State
2.	EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.
Under RSMo 351.685, the Secretary of State is required to employ "some suitable person, who is an attorney at law, as supervisor of corporate registration, who shall, under the direction of the secretary of state, aid in the supervision of the registration of corporations." The Office of the Secretary of State has experienced a rapid increase in the number of corporations and other business entities seeking to register with the state of Missouri, resulting in an increased burden that is straining the resources of the present legal staff. This request is for 1.00 FTE for an additional attorney who will be a specialist in corporations law to handle this increased workload. This additional attorney will play a key role in the Functional Area Analysis of the Business Services Department that is part of the Information Strategy Plan to automate the business practices of the office. This attorney will free the General Counsel to handle the increased legal burden associated with Constitutional Amendment 9 and its requirement for term limits monitoring.	

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	SECRETARY OF STATE	NAME OF DECISION ITEM: CORPORATE COUNSEL	PAGE _____
LEVEL 2	BUSINESS SERVICES		
LEVEL 3	CORPORATION DIVISION		
LEVEL 4		DECISION ITEM RANK	003 OF 008
LEVEL 5		DECISION ITEM NO.	027

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objectives: - Provide qualified legal support to assist in the registration of corporations and business entities within the state of Missouri - Provide qualified and extensive analysis, advice, and review of legal requirements associated with Functional Area Analysis of all areas of the office in connection with implementation of the Information Strategy Plan - Strategies: - Hire an additional 1.00 FTE attorney position to provide additional legal support for the Office of the Secretary of State				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Average length of time to complete/resolve business entity registration matters				
Successful implementation of the Information Strategy Plan				

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: CORPORATE COUNSEL	PAGE
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LEVEL 3 CORPORATION DIVISION		
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DECISION ITEM RANK <u>003</u> OF <u>008</u>		
DECISION ITEM NO.		<u>027</u>

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999			
Corporate registration matters completed/resolved on a timely basis Legal requirements of SOS departments/divisions documented in conformance with statutes for use in Functional Area Analysis and systems design and implementation in support of implementation of the Information Strategy Plan							
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. The following costs are associated with this decision item. Business services has space and expense and equipment on-hand to support this position. Personnel Services <table style="width:100%; margin-top: 20px;"> <tr> <td style="width:40%;">Attorney</td> <td style="width:20%; text-align: right;">\$35,520</td> <td style="width:40%; text-align: right;">1.0 FTE</td> </tr> </table>					Attorney	\$35,520	1.0 FTE
Attorney	\$35,520	1.0 FTE					

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PERSONAL SERVICES
 FORM 6

GOVERNOR
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DECISION ITEM RANK 003
 DECISION ITEM NO. 027 NAME: CORPORATE COUNSEL

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	ACTUAL	EXPENDITURE	FUNDED POSITIONS		REQUEST		RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
CORPORATIONS COUNSEL					1.00	35,520	1.00	35,520
FUND SUBTOTAL					1.00	35,520	1.00	35,520
GEN REV FUND					1.00	35,520	1.00	35,520
FORM 6 SUBTOTAL					1.00	35,520	1.00	35,520
TOTAL DECISION					1.00	35,520	1.00	35,520
GEN REV FUND					1.00	35,520	1.00	35,520
GRAND TOTAL					1.00	35,520	1.00	35,520

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PROGRAM DECISION ITEM
FORM 5

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DECISION ITEM RANK 004
DECISION ITEM NO. 028 NAME: ANNUAL REPORTS CLERKS

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE GENERAL REVENUE		43,092	43,092
TOTAL PERSONAL SERVICE		43,092	43,092
TOTAL DECISION ITEM		43,092	43,092
NO. EMPLOYEE FTE		3.00	3.00

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: ANNUAL REPORTS CLERKS	PAGE
LEVEL 2 BUSINESS SERVICES		
LEVEL 3 CORPORATION DIVISION		
LEVEL 4	DECISION ITEM RANK	004 OF 008
LEVEL 5	DECISION ITEM NO.	028

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The new decision item for additional personnel supports several strategic issues for the Corporations Division of the Office of the Secretary of State. These are:

A. Provide quality customer service (SOS strategic plan, page 9)

- Faster processing and filing of corporation's annual reports

B. Enhance information access (SOS strategic plan, page 10)

- Update corporation information more quickly and more accurately for public request

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Corporations Division of the Office of the Secretary of State receives approximately 140,000 annual reports and 26,500 Non-profit corporation reports on an annual basis. These reports are due at various times, creating peak periods of work that are more than the full-time staff can handle. A little more than half (74,000) annual reports on For- Profit Corporations have a due date of April 15. This due date is based upon their fiscal year, which for this 50% is the calendar year. These corporations will be dissolved after July 15 if reports are not filed and processed. The remaining 50% have fiscal years other than the calendar year and come due throughout the year. In addition, 26,500 Nonprofit Corporations have to file their annual reports by August 31 and will be dissolved after November 30 if their report is not filed. Also, many documents have to be rejected for various reasons, causing them to be handled more than once. There is a full-time need for three additional clerks to handle the continuous daily workload of annual reports being filed.

With this request for 3.00 FTE for additional Annual Reports Clerks, more documents can be filed in a shorter period of time, thereby keeping corporate files up-to-date. Revenues are also collected more quickly. Keeping our records current is necessary because our customers use it to make business decisions. Corporations must be in good standing in order conduct business in the state of Missouri.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: ANNUAL REPORTS CLERKS	PAGE		
LEVEL 2 BUSINESS SERVICES				
LEVEL 3 CORPORATION DIVISION				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	004	OF	008
		DECISION ITEM NO.	028	

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objectives: More quickly process annual reports filed by approximately 140,000 For-Profit active corporations and 26,500 Nonprofit active corporations registered with this office. Each of these corporations are required to file an annual report each year with heavier filings at particular times throughout the year. Report processing time will be reduced and revenues will be collected more quickly. - Strategy: Hire an additional 3.00 Annual Reports Clerks who will more quickly process the annual reports received from the various registered corporations.				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Percentage of additional documents filed per week with additional employees Report processing backlog	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
			40%	40%
	6-8 weeks	6-8 weeks	1 week	1 week
5. OUTPUT MEASURES - Identify and quantify the services to be provided. Increases in annual reports processed (Approximately 65 per person per day)	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
	0	0	35,230	35,230
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. Personnel Services (3) x Clerk I (Range 6, step C, \$14,364 each) \$43,092 No expense and equipment is required for these positions since work stations are already established for temporary personnel. Costs are General Revenue.				

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PERSONAL SERVICES
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GOVERNOR
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DECISION ITEM RANK 004
 DECISION ITEM NO. 028 NAME: ANNUAL REPORTS CLERKS

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	ACTUAL EXPENDITURE FTE	AMOUNT	FUNDED POSITIONS FTE	AMOUNT	REQUEST FTE	AMOUNT	RECOMMENDS FTE	AMOUNT
CLERK I					3.00	43,092	3.00	43,092
FUND SUBTOTAL					3.00	43,092	3.00	43,092
GEN REV FUND					3.00	43,092	3.00	43,092
FORM 6 SUBTOTAL					3.00	43,092	3.00	43,092
TOTAL DECISION					3.00	43,092	3.00	43,092
GEN REV FUND					3.00	43,092	3.00	43,092
GRAND TOTAL					3.00	43,092	3.00	43,092

STAFF SERVICES

LEVEL 1 SECRETARY OF STATE
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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	TOTAL
PERSONAL SERVICES					
GENERAL REVENUE	655,558	675,257	657,006	26,280	683,286
TECHNOLOGY TRUS	651		<664,866 >	<22,935 >	<687,801 >
SEC ST INSTIT					
TOTAL	656,209	675,257	657,006	26,280	683,286
			<664,866 >	<22,935 >	<687,801 >
EXPENSE AND EQUIPMENT					
GENERAL REVENUE	530,796	410,008	379,640		379,640
TECHNOLOGY TRUS		2,439,600	<379,640 >		<379,640 >
SEC ST INSTIT					
TOTAL	530,796	2,849,608	379,640		379,640
			<379,640 >		<379,640 >
PROGRAM SPECIFIC DIST					
SEC ST INSTIT					
TOTAL					
GRAND TOTAL	1,187,005	3,524,865	1,036,646	26,280	1,062,926
			<1,044,506 >	<22,935 >	<1,067,441 >
SOURCE OF FUNDS SUMMARY					
GENERAL REVENUE	1,186,354	1,085,265	1,036,646	26,280	1,062,926
TECHNOLOGY TRUS	651	2,439,600	<1,044,506 >	<22,935 >	<1,067,441 >
NO. EMPLOYEE FTES	21.59	21.50	21.50		21.50
			<21.50>		<21.50>

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PROGRAM DECISION ITEM
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DECISION ITEM RANK 001
DECISION ITEM NO. 004 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE	675,257	657,006	664,866
TOTAL PERSONAL SERVICE	675,257	657,006	664,866
EXPENSE & EQUIPMENT			
GENERAL REVENUE	410,008	379,640	379,640
TECHNOLOGY TRUS	2,439,600		
TOTAL EXPENSE & EQUIP	2,849,608	379,640	379,640
PROGRAM SPECIFIC DIST			
TOTAL PROGRAM SPECIFIC			
TOTAL DECISION ITEM	3,524,865	1,036,646	1,044,506
NO. EMPLOYEE FTE	21.50	21.50	21.50

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE _____
LEVEL 2 STAFF SERVICES		
LEVEL 3		
LEVEL 4	DECISION ITEM RANK	001 OF 008
LEVEL 5	DECISION ITEM NO.	004

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Staff Services Department of the Office of the Secretary of State has identified several strategic issues and numerous goals that affect its core delivery of services. These include:

- A. Provide quality customer service (SOS strategic plan, page 9)
 - Deliver responsive and timely service to all of our customers
 - Emphasize courtesy and mutual respect to all customers
- B. Enhance information access (SOS strategic plan, page 10)
 - Improve information services to enhance access to public information
- C. Provide leadership and expertise in business and information systems (SOS strategic plan, page 14)
 - Exercise leadership in state and local government to improve the quality of information services provided to citizens
 - Provide business expertise as the state agency responsible for the enforcement of securities laws and regulations
- D. Human resource management and development (SOS strategic plan, page 18)
 - Acquire and maintain the best mix of personnel skill sets for the operation of the staff services department
 - Identify personnel requirements to meet new or expanded mission requirements
 - Reward quality performance and professionalism

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 STAFF SERVICES		
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LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		004

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the continued operation of Department programs, which include:

- The productive coordination of the various divisions of the Office of the Secretary of State. This includes the creation and definition of policy and the direction for implementation of these policies. This relates to strategic issues A, B, C, and D. Priority outcomes for FY 1998 include:
 - Strategic planning for the Office of the Secretary of State
 - Optimal structuring of the organization to meet the operational needs of the Office of the Secretary of State
 - The establishment and maintenance of organizational policies and procedures
- The review, editing, and publication of proposed and final state agency rules and regulations in the *Missouri Register* and the *Code of State Regulations*. This requires reviewing the rules and regulations for legal supporting documentation as well as for uniform format and organization, filing of the rules, and certification of the regulations. This relates to strategic issues A and B. Priority outcomes for FY98 include:
 - Timely and accurate publication of the register and code.
 - Improved indexing of the code and register
 - Upgrading the automated records of the code and register

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

The Staff Services Department has developed multiple goals and objectives in support of the identified strategic issues. The Office of the Secretary of State draft strategic plan provides additional information on those strategic issues. Selected high priority objectives include:

Issue #3 - Provide leadership and expertise in business and information systems

- Continue to provide leadership and expertise in business and information systems to state and local governments. This will be accomplished by continued strategic planning, coordination with other government agencies, and the commitment of resources to achieve the planned objectives.

Issue #2 - Enhance information access

- Develop a new index system for the *Missouri Register* and *CSR* by June 30, 1998

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 STAFF SERVICES		
LEVEL 3		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK <u>001</u> OF <u>008</u>	
DECISION ITEM NO. <u>004</u>		

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Efficient management of the staff of the Office of the Secretary of State Timely and accurate publication of the CSR	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999												
5. OUTPUT MEASURES - Identify and quantify the services to be provided. Strategic planning accomplished Pages of the CSR published	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999												
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. Core budget request. There were no one-time costs in FY 1997. The following core changes reflect the reorganization of the office carried out in FY 1997. The Administrative Rules Division was transferred to Staff Services from Administrative Services. Electronic data processing funds were transferred to the Information Technology Division of Administrative Services. <table style="width:100%; border: none;"> <tr> <td style="width:33%;">\$193,548 GR</td> <td style="width:33%;">Personal Services</td> <td style="width:33%;">Transferred From Administrative Services</td> </tr> <tr> <td>\$333,951 GR</td> <td>Expense and Equipment</td> <td>Transferred From Administrative Services</td> </tr> <tr> <td>(\$35,367) GR</td> <td>Expense and Equipment</td> <td>Electronic Data Processing Funds Transferred to Administrative Services</td> </tr> <tr> <td>(\$2,439,600) Technology Trust Fund</td> <td>Expense and Equipment</td> <td>Electronic Data Processing Funds Transferred to Administrative Services</td> </tr> </table>					\$193,548 GR	Personal Services	Transferred From Administrative Services	\$333,951 GR	Expense and Equipment	Transferred From Administrative Services	(\$35,367) GR	Expense and Equipment	Electronic Data Processing Funds Transferred to Administrative Services	(\$2,439,600) Technology Trust Fund	Expense and Equipment	Electronic Data Processing Funds Transferred to Administrative Services
\$193,548 GR	Personal Services	Transferred From Administrative Services														
\$333,951 GR	Expense and Equipment	Transferred From Administrative Services														
(\$35,367) GR	Expense and Equipment	Electronic Data Processing Funds Transferred to Administrative Services														
(\$2,439,600) Technology Trust Fund	Expense and Equipment	Electronic Data Processing Funds Transferred to Administrative Services														

PERSONAL SERVICES
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LEVEL 3 SEC OF STATE-STAFF SERVICES 23175
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DECISION ITEM RANK 001
DECISION ITEM NO. 004 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
SECRETARY OF STATE	1.00	78,888	1.00	83,622	1.00	83,621	1.00	83,621
EXECUTIVE DEP SEC OF STATE	1.00	63,524	1.00	67,125	1.00	69,540	1.00	69,540
LEGISLATIVE COORDINATOR				1,378				
OFFICE SERVICES SUPERVISOR	.67	16,218						
EXECUTIVE ASSISTANT	1.00	37,032	1.00	38,588	1.00	36,456	1.00	36,456
ADMINISTRATIVE RULES DIR	.81	29,168	1.00	39,267	1.00	39,996	1.00	39,996
ADMINISTRATIVE SECRETARY	1.03	24,723	1.00	25,521	1.00	25,464	1.00	25,464
EXECUTIVE SECRETARY	1.17	33,168	2.00	54,908	2.00	59,472	2.00	59,472
CUSTODIAN	.09	5,268			.50	5,700	.50	5,700
ADMINISTRATIVE RULES EDITOR	2.00	47,688	2.00	50,553	2.00	50,460	2.00	50,460
CLERK TYPIST II	2.00	33,417	2.00	34,812	2.00	34,356	2.00	34,356
ASSISTANT EDITOR	2.00	40,896	2.00	43,273	2.00	43,272	2.00	43,272
PART-TIME SUMMER	.99	10,215	.50	959	1.00	959	1.00	959
PART-TIME OTHER			1.00	5,656	1.00	3,038	1.00	3,038
GENERAL COUNSEL	1.00	50,204	1.00	53,000	1.00	55,440	1.00	55,440
PUBLIC INFORMATION OFFICER	1.00	36,608	1.00	38,588	1.00	41,064	1.00	41,064
READER ADVISOR	.83	19,170						
ASST GENERAL COUNSEL	1.00	33,369	1.00	36,524	1.00	35,520	1.00	35,520
ADMINISTRATIVE AIDE II	2.00	47,064	2.00	49,057	2.00	46,236	2.00	46,236
ADMINISTRATIVE AIDE III	1.00	24,960	1.00	26,457	1.00	26,412	1.00	26,412
ACCOUNT EXAMINER II	1.00	24,629	1.00	25,969				
FUND SUBTOTAL								
GEN REV FUND	21.56	655,558	21.50	675,257	21.50	657,006	21.50	657,006
TECHNOLOGY TRUS	.03	651						
SEC ST INSTIT								
FORM 6 SUBTOTAL	21.59	656,209	21.50	675,257	21.50	657,006	21.50	657,006
FLEXIBLE BENEF								
GEN REV FUND								1,290
COST OF LIVING								
GEN REV FUND								6,570
TOTAL DECISION								
GEN REV FUND	21.56	655,558	21.50	675,257	21.50	657,006	21.50	664,866
TECHNOLOGY TRUS	.03	651						

PERSONAL SERVICES
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DECISION ITEM RANK 001
DECISION ITEM NO. 004 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	FTE	ACTUAL EXPENDITURE AMOUNT	FTE	FUNDED POSITIONS AMOUNT	FTE	REQUEST AMOUNT	FTE	RECOMMENDS AMOUNT
SEC ST INSTIT								
GRAND TOTAL	21.59	656,209	21.50	675,257	21.50	657,006	21.50	664,866

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 LEVEL 2 OFFICE OF SECRETARY OF STATE
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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
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DECISION ITEM RANK 001
 DECISION ITEM NO. 004 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	29,944	37,300	22,092	22,092
OFFICE EXPENSE	334,955	277,727	277,727	277,727
OFFICE AND COMM EQUIP PURCHASE	5,920	8,300	8,300	8,300
COMMUNICATION EXPENSE	30,076	30,000	25,000	25,000
INST AND PHYS PLANT EXPENSE	1,487			
DATA PROC EXPENSE & EQUIPMENT	67,146	2,469,971	15,211	15,211
PROFESSIONAL SERVICES	38,546	15,000	15,000	15,000
OTHER EXPENSES	22,722	11,310	16,310	16,310
TOTAL EQUIPMENT	530,796	2,849,608	379,640	379,640
SOURCE OF FUND SUMMARY				
GEN REV FUND	530,796	410,008	379,640	379,640
TECHNOLOGY TRUS		2,439,600		
SEC ST INSTIT				
GRAND TOTAL	530,796	2,849,608	379,640	379,640

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PROGRAM DECISION ITEM
FORM 5

GOVERNOR
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DECISION ITEM RANK 002
DECISION ITEM NO. 020 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		26,280	22,935
TOTAL PERSONAL SERVICE		26,280	22,935
TOTAL DECISION ITEM		26,280	22,935

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE		
LEVEL 2 STAFF SERVICES				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	002	OF	008
DECISION ITEM NO.		020		

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Staff Services Department of the Office of the Secretary of State has identified the following strategic issue and goals that affect its delivery of services.

A. Human resource management and development (SOS Plan, page 18)

- Reward quality performance and professionalism
- Maintain a competitive compensation program

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE
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LEVEL 3		
LEVEL 4	DECISION ITEM RANK <u>002</u> OF <u>008</u>	
LEVEL 5		
DECISION ITEM NO. <u>020</u>		

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.										
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Personnel of the Office of the Secretary of State will: - Have appropriate skills - Improve and expand public services - Continue in state government service	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999						
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999						
Current level of services will be maintained										
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4% <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:20%;"><u>Fund</u></td> <td style="width:30%;"><u>FY 1997 PS Core</u></td> <td style="width:50%;"><u>Within Grade Increase</u></td> </tr> <tr> <td>General Revenue</td> <td>\$657,006</td> <td>\$26,280</td> </tr> </table>					<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>	General Revenue	\$657,006	\$26,280
<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>								
General Revenue	\$657,006	\$26,280								

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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 002
 DECISION ITEM NO. 020 NAME: WITHIN GRADE

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PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE AMOUNT	BUDGET YEAR REQUEST FTE AMOUNT	GOVERNOR RECOMMENDS FTE AMOUNT
SECRETARY OF STATE			1.00 3,345	
EXECUTIVE DEPUTY SEC OF STATE			1.00 2,782	1.00 2,782
EXECUTIVE ASSISTANT			1.00 1,458	1.00 1,458
ADMINISTRATIVE RULES DIRECTOR			1.00 1,600	1.00 1,600
ADMINISTRATIVE SECRETARY			1.00 1,019	1.00 1,019
EXECUTIVE SECRETARY			2.00 2,378	2.00 2,378
ADMINISTRATIVE RULES EDITOR			2.00 2,018	2.00 2,018
CLERK TYPIST II			2.00 1,374	2.00 1,374
ASSISTANT EDITOR			2.00 1,731	2.00 1,731
PART-TIME SUMMER			.50 160	.50 160
PART-TIME OTHER			2.00 228	2.00 228
GENERAL COUNSEL			1.00 2,218	1.00 2,218
PUBLIC INFORMATION OFFICER			1.00 1,643	1.00 1,643
ASSISTANT GENERAL COUNSEL			1.00 1,421	1.00 1,421
ADMINISTRATIVE AIDE II			2.00 1,849	2.00 1,849
ADMINISTRATIVE AIDE III			1.00 1,056	1.00 1,056
FUND SUBTOTAL				
GEN REV FUND			21.50 26,280	20.50 22,935
FORM 6 SUBTOTAL			21.50 26,280	20.50 22,935
TOTAL DECISION				
GEN REV FUND			21.50 26,280	20.50 22,935
GRAND TOTAL			21.50 26,280	20.50 22,935

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	8 / 8 SECURITIES EXAM UNIT	TOTAL
PERSONAL SERVICES						
GENERAL REVENUE	455,822	492,875	511,248	20,450		531,698
			<517,380 >	<20,450 >		<537,830 >
SEC ST INSTIT	17,886	22,260	22,260	890	71,676	94,826
			<22,543 >	<890 >	<71,676 >	<95,109 >
TOTAL	473,708	515,135	533,508	21,340	71,676	626,524
			<539,923 >	<21,340 >	<71,676 >	<632,939 >
EXPENSE AND EQUIPMENT						
GENERAL REVENUE	37,484	56,500	49,939			49,939
			<49,939 >			<49,939 >
SEC ST INSTIT	75,156	70,000	70,000		43,464	113,464
			<70,000 >		<43,464 >	<113,464 >
TOTAL	112,640	126,500	119,939		43,464	163,403
			<119,939 >		<43,464 >	<163,403 >
PROGRAM SPECIFIC DIST						
INMATE REIM REV						
INVESTOR EDUC			50,000			50,000
			<50,000 >			<50,000 >
SEC ST INSTIT		50,000				
TOTAL		50,000	50,000			50,000
			<50,000 >			<50,000 >
GRAND TOTAL	586,348	691,635	703,447	21,340	115,140	839,927
			<709,862 >	<21,340 >	<115,140 >	<846,342 >
SOURCE OF FUNDS SUMMARY						
GENERAL REVENUE	493,306	549,375	561,187	20,450		581,637
			<567,319 >	<20,450 >		<587,769 >
INVESTOR EDUC			50,000			50,000
			<50,000 >			<50,000 >
SEC ST INSTIT	93,042	142,260	92,260	890	115,140	208,290
			<92,543 >	<890 >	<115,140 >	<208,573 >

LEVEL 1 SECRETARY OF STATE
LEVEL 2 OFFICE OF SECRETARY OF STATE
LEVEL 3 SEC OF STATE-SECURITIES
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DECISION ITEM FINANCIAL SUMMARY
FORM 4

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	8 / 8 SECURITIES EXAM UNIT	TOTAL
NO. EMPLOYEE FTES	17.47	18.00	18.00 <18.00>		2.50 <2.50>	20.50 <20.50>

LEVEL 1 SECRETARY OF STATE
LEVEL 2 OFFICE OF SECRETARY OF STATE
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PROGRAM DECISION ITEM
FORM 5

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DECISION ITEM RANK 001
DECISION ITEM NO. 015 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
BUDGET CLASS/FUND			
PERSONAL SERVICE			
GENERAL REVENUE	492,875	511,248	517,380
SEC ST INSTIT	22,260	22,260	22,543
TOTAL PERSONAL SERVICE	515,135	533,508	539,923
EXPENSE & EQUIPMENT			
GENERAL REVENUE	56,500	49,939	49,939
SEC ST INSTIT	70,000	70,000	70,000
TOTAL EXPENSE & EQUIP	126,500	119,939	119,939
PROGRAM SPECIFIC DIST			
INVESTOR EDUC		50,000	50,000
SEC ST INSTIT	50,000		
TOTAL PROGRAM SPECIFIC	50,000	50,000	50,000
TOTAL DECISION ITEM	691,635	703,447	709,862
NO. EMPLOYEE FTE	18.00	18.00	18.00
6. PERFORMANCE MEASURE:			

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 SECURITIES		
LEVEL 3		
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LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		015

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Securities Department of the Office of the Secretary of State has identified five strategic issues and numerous goals that affect its core delivery of services. These include:

- A. Provide quality customer service (SOS strategic plan, page 9)
 - Deliver responsive and timely service to all of our customers
 - Emphasize courtesy and mutual respect to all customers
- B. Enhance information access (SOS strategic plan, page 10)
 - Improve information services to enhance access to public information
- C. Provide leadership and expertise in business and information systems (SOS strategic plan, page 14)
 - Exercise leadership in state and local government to improve the quality of information services provided to citizens
 - Provide business expertise as the state agency responsible for the enforcement of securities laws and regulations
- D. Human resource management and development (SOS strategic plan, page 18)
 - Acquire and maintain the best mix of personnel skill sets for the operation of the Securities Department
 - Identify personnel requirements to meet new or expanded mission requirements
 - Reward quality performance and professionalism
- E. Provide investor protection for the citizens of the state of Missouri (SOS strategic plan, page 18)
 - Investigate, discover, and act upon suspected cases of securities fraud
 - Provide education to prevent fraud and abuse in securities and business affairs
 - Register securities companies and their sales representatives, if qualified
 - Review certain securities offerings and register these offerings if deemed in compliance with Missouri law

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 SECURITIES		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		015

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the continued operation of Department programs, which include:

The protection of Missouri investors from investment fraud. This includes the registration of certain securities sold within the state, the registration of securities salespersons, the maintenance of orderly security markets in the state, and education of Missouri investors against fraud. This relates to strategic issues A, B, C, and E. Priority outcomes for FY 1998 include:

- Investigate and take action against cases of alleged securities law violations
- Register qualified broker-dealers, agents, investment advisors, and investor advisor representatives
- Examine securities companies and their branches
- Maintain a toll-free telephone line to answer investor questions and allow citizens to report
- Provide educational visits and material to target groups of citizens
- Provide resources for a stock market game designed to educate students in Missouri schools

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

The Securities Department has developed multiple goals and objectives in support of the identified strategic issues. The Office of the Secretary of State draft strategic plan provides additional information on those strategic issues. Selected high priority objectives include:

Issue #2 - Provide leadership and expertise in business and information systems

- Continue to provide leadership and expertise in business and information systems to state and local governments. This will be accomplished by continued strategic planning, coordination with other government agencies, and the commitment of resources to achieve the planned objectives.

Issue #5 - Provide investor protection for the citizens of the state of Missouri

- Reduce the number of fraudulent securities sellers operating in Missouri. This will require investigation, auditing, and enforcement of consent agreements to ensure that fraudulent securities sellers do not transact business in Missouri.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE		
LEVEL 2 SECURITIES				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	001	OF	008
DECISION ITEM NO.		015		

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Percentage of enforcement complaints that result in resolution or official action	40	45	50	55
Number of enforcement complaints reported or initiated	235	250	275	300
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Number of investor education classes held	15	20 - 22	20 - 28	30 - 40
Number of toll-free calls answered for investor education	1,648	1,813	2,085	2,200
Number of registered securities sellers				
Broker-dealers	1,329	1,400	1,425	1,450
Broker-dealer agents	56,000	57,000	58,000	59,000
Investment advisors	730	775	800	825
Investment advisor representatives	3,500	3,600	3,700	3,800
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.				
Core budget request. There were no one-time costs in FY 1997. The following core reduction is a transfer of electronic data processing funds to the Information Technology Division of Administrative Services:				
(\$11,561) GR	Expense and Equipment	Transfer of EDP funds to Administrative Services		
A fund switch of \$50,000 was made from the SOS Institutional Gift Trust Fund to the Investor Education Fund.				

LEVEL 1 SECRETARY OF STATE
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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 001
 DECISION ITEM NO. 015 NAME: CORE REQUEST

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PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
SECURITIES DIRECTOR	1.00	50,204	1.00	53,000	1.00	55,440	1.00	55,440
ADMINISTRATIVE SECRETARY	.97	21,768	1.00	22,675	1.00	24,336	1.00	24,336
CHIEF OF REGISTRATION	1.00	38,436	1.00	40,746	1.00	40,668	1.00	40,668
CHIEF OF ENFORCEMENT	.25	9,594	1.00	40,673				
ACCOUNTANT EXAMINER I	1.00	21,408	1.00	22,688				
CLERK TYPIST II	1.94	34,653	1.00	16,861	1.50	28,344	1.50	28,344
CLERK TYPIST III			1.00	20,400				
INVESTIGATOR			1.00	22,238				
LICENSING ASSISTANT			4.00	94,669				
INVESTIGATOR III	.75	24,003	2.00	53,433	1.00	29,100	1.00	29,100
PART-TIME OTHER					.50	10,344	.50	10,344
SECURITIES ENFORC. AUDITOR II	.08	3,246			1.00	39,732	1.00	39,732
SECURITIES ENFOR. AUDITOR I	.08	2,935			1.00	35,928	1.00	35,928
INVESTOR ED SPECIALIST	1.00	21,000	1.00	22,260	1.00	22,260	1.00	22,260
INVESTIGATOR I	.75	15,732						
INVESTIGATOR II	2.90	75,322			3.00	80,040	3.00	80,040
REGISTRATION ATTY	1.00	34,900	1.00	36,765	1.00	38,088	1.00	38,088
CHIEF OF LICENSING	1.00	38,835	1.00	40,641	1.00	41,268	1.00	41,268
LICENSING ATTORNEY	.75	22,932						
LICENSING ASSISTANT	3.00	58,740			3.00	60,444	3.00	60,444
ACCOUNT EXAMINER II					1.00	27,516	1.00	27,516
SENIOR INVESTIGATOR			1.00	28,086				
FUND SUBTOTAL								
GEN REV FUND	16.56	455,822	17.00	492,875	17.00	511,248	17.00	511,248
SEC ST INSTIT	.91	17,886	1.00	22,260	1.00	22,260	1.00	22,260
FORM 6 SUBTOTAL	17.47	473,708	18.00	515,135	18.00	533,508	18.00	533,508
FLEXIBLE BENEF								
GEN REV FUND								1,020
SEC ST INSTIT								60
COST OF LIVING								
GEN REV FUND								5,112
SEC ST INSTIT								223

PERSONAL SERVICES
FORM 6

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LEVEL 1 SECRETARY OF STATE
LEVEL 2 OFFICE OF SECRETARY OF STATE
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DECISION ITEM RANK 001
DECISION ITEM NO. 015 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	FTE	ACTUAL EXPENDITURE AMOUNT	FTE	FUNDED POSITIONS AMOUNT	FTE	REQUEST AMOUNT	FTE	RECOMMENDS AMOUNT
TOTAL DECISION								
GEN REV FUND	16.56	455,822	17.00	492,875	17.00	511,248	17.00	517,380
SEC ST INSTIT	.91	17,886	1.00	22,260	1.00	22,260	1.00	22,543
GRAND TOTAL	17.47	473,708	18.00	515,135	18.00	533,508	18.00	539,923

LEVEL 1 SECRETARY OF STATE
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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
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DECISION ITEM RANK 001
 DECISION ITEM NO. 015 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	7,790	13,500	13,500	13,500
OFFICE EXPENSE	13,620	73,525	68,525	68,525
OFFICE AND COMM EQUIP PURCHASE	9,524	6,500	6,500	6,500
COMMUNICATION EXPENSE	2,093		15,000	15,000
INST AND PHYS PLANT EXPENSE	1,009			
DATA PROC EXPENSE & EQUIPMENT	7,533	10,250		
PROFESSIONAL SERVICES	16,589	7,500	7,500	7,500
OTHER EXPENSES	54,482	15,225	8,914	8,914
TOTAL EQUIPMENT	112,640	126,500	119,939	119,939
SOURCE OF FUND SUMMARY				
GEN REV FUND	37,484	56,500	49,939	49,939
SEC ST INSTIT	75,156	70,000	70,000	70,000
GRAND TOTAL	112,640	126,500	119,939	119,939

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
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DECISION ITEM RANK 002
 DECISION ITEM NO. 021 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		20,450	20,450
SEC ST INSTIT		890	890
TOTAL PERSONAL SERVICE		21,340	21,340
TOTAL DECISION ITEM		21,340	21,340

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE
LEVEL 2 SECURITIES		
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LEVEL 5		
		DECISION ITEM RANK <u>002</u> OF <u>008</u>
		DECISION ITEM NO. <u>021</u>

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Securities Department of the Office of the Secretary of State has identified the following strategic issues and goals that affect its delivery of services.

- A. Human resource management and development (SOS Plan, page 18)
- Reward quality performance and professionalism
 - Maintain a competitive compensation program

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE		
LEVEL 2 SECURITIES				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	002	OF	008
DECISION ITEM NO.		021		

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.													
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Personnel of the Office of the Secretary of State will: - Have appropriate skills - Improve and expand public services - Continue in state government service	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999									
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999									
Current level of services will be maintained													
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4% <table border="1"> <thead> <tr> <th>Fund</th> <th>FY 1997 PS Core</th> <th>Within Grade Increase</th> </tr> </thead> <tbody> <tr> <td>General Revenue</td> <td>\$511,248</td> <td>\$20,450</td> </tr> <tr> <td>SOS Institutional Gift</td> <td>\$22,260</td> <td>\$890</td> </tr> </tbody> </table>					Fund	FY 1997 PS Core	Within Grade Increase	General Revenue	\$511,248	\$20,450	SOS Institutional Gift	\$22,260	\$890
Fund	FY 1997 PS Core	Within Grade Increase											
General Revenue	\$511,248	\$20,450											
SOS Institutional Gift	\$22,260	\$890											

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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 002
 DECISION ITEM NO. 021 NAME: WITHIN GRADE

GOVERNOR
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PARS CLASSIFICATION	PRIOR YEAR		CURRENT YEAR		BUDGET YEAR		GOVERNOR	
	ACTUAL FTE	EXPENDITURE AMOUNT	FUNDED FTE	POSITIONS AMOUNT	REQUEST FTE	AMOUNT	RECOMMENDS FTE	AMOUNT
SECURITIES DIRECTOR			1.00		1.00	2,218	1.00	2,218
ADMINISTRATIVE SECRETARY			1.00		1.00	973	1.00	973
CHIEF OF REGISTRATION			1.00		1.00	1,627	1.00	1,627
CLERK TYPIST II			1.50		1.50	1,134	1.50	1,134
INVESTIGATOR III			1.00		1.00	1,164	1.00	1,164
PART-TIME OTHER			.50		.50	414	.50	414
SECURITIES ENFORCE AUDITOR II			1.00		1.00	1,589	1.00	1,589
SECURITIES ENFORCE AUDITOR I			1.00		1.00	1,437	1.00	1,437
INVESTOR EDUCATION SPECIALIST			1.00		1.00	890	1.00	890
INVESTIGATOR II			3.00		3.00	3,201	3.00	3,201
REGISTRATION ATTORNEY			1.00		1.00	1,524	1.00	1,524
CHIEF OF LICENSING			1.00		1.00	1,651	1.00	1,651
LICENSING ASSISTANT			3.00		3.00	2,417	3.00	2,417
ACCOUNT EXAMINER II			1.00		1.00	1,101	1.00	1,101
FUND SUBTOTAL								
GEN REV FUND			17.00		17.00	20,450	17.00	20,450
SEC ST INSTIT			1.00		1.00	890	1.00	890
FORM 6 SUBTOTAL			18.00		18.00	21,340	18.00	21,340
TOTAL DECISION								
GEN REV FUND			17.00		17.00	20,450	17.00	20,450
SEC ST INSTIT			1.00		1.00	890	1.00	890
GRAND TOTAL			18.00		18.00	21,340	18.00	21,340

LEVEL 1 SECRETARY OF STATE
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PROGRAM DECISION ITEM
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DECISION ITEM RANK 008
DECISION ITEM NO. 042 NAME: SECURITIES EXAMINATION UNIT

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
SEC ST INSTIT		71,676	71,676
TOTAL PERSONAL SERVICE		71,676	71,676
EXPENSE & EQUIPMENT			
SEC ST INSTIT		43,464	43,464
TOTAL EXPENSE & EQUIP		43,464	43,464
TOTAL DECISION ITEM		115,140	115,140
NO. EMPLOYEE FTE		2.50	2.50

6. PERFORMANCE MEASURE:

ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SECURITIES EXAMINATION UNIT	PAGE		
LEVEL 2 SECURITIES				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	008	OF	008
		DECISION ITEM NO.	042	

- STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.
 - Human resources management and development (SOS strategic plan, page 18)
 - Develop and maintain the correct set of skill sets for the operation of the Securities Division
 - Provide investor protection Provide investor protection (SOS strategic plan, page 18)
 - Proactively review books and records of securities firms to ensure compliance with Missouri's security laws
 - Create a business atmosphere of compliance with securities laws for the protection of Missouri citizens
- EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

Although provided for by law, the Securities Division of the Office of the Secretary of State does not have the capability or resources to effectively audit securities firms operating in the state. Current staffing does not allow the performance of complex securities examinations that require trained and experienced audit personnel. Missouri is one of only a handful of states that still does not have this audit capability.

Funding this request will allow the Securities Division to proactively seek out and review securities firms operating in the state. It will create an atmosphere of compliance as firms realize their actions are subject to examination at any time, not just when complaints are received. It will enhance Missouri's reputation for not welcoming boiler room operations. Failure to fund this request will mean giving up the capability to respond proactively in examining securities firms.
- OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

These objectives support both the strategic issues in paragraph one above.

 - Objectives:
 - Establish an Examination Unit to proactively audit securities firms and ensure compliance with Missouri's laws
 - Provide technical expertise on complex broker/dealer investigations
 - Strategies:
 - Hire a Securities Enforcement Auditor I, a Securities Enforcement Auditor II, and a half-time Clerk Typist II to establish the Examination Unit
 - Establish a schedule of securities examinations to ensure compliance with Missouri law

LEVEL 1	OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SECURITIES EXAMINATION UNIT	PAGE
LEVEL 2	SECURITIES		
LEVEL 3			
LEVEL 4		DECISION ITEM RANK	008 OF 008
LEVEL 5		DECISION ITEM NO.	042

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
	0	0	10	10
	0	0	10	15
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Audits performed	0	0	10	10
Investment advisor representatives monitored				

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

LEVEL 1	OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SECURITIES EXAMINATION UNIT	PAGE		
LEVEL 2	SECURITIES				
LEVEL 3					
LEVEL 4		DECISION ITEM RANK	008	OF	008
LEVEL 5		DECISION ITEM NO.	042		

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed.	A. Human resources management and development (SOS strategic plan, page 18) - Develop and maintain the correct set of skill sets for the operation of the Securities Division B. Provide investor protection Provide investor protection (SOS strategic plan, page 18) - Proactively review books and records of securities firms to ensure compliance with Missouri's security laws - Create a business atmosphere of compliance with securities laws for the protection of Missouri citizens
	2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. Although provided for by law, the Securities Division of the Office of the Secretary of State does not have the capability or resources to effectively audit securities firms operating in the state. Current staffing does not allow the performance of complex securities examinations that require trained and experienced audit personnel. Missouri is one of only a handful of states that still does not have this audit capability. Funding this request will allow the Securities Division to proactively seek out and review securities firms operating in the state. It will create an atmosphere of compliance as firms realize their actions are subject to examination at any time, not just when complaints are received. It will enhance Missouri's reputation for not welcoming boiler room operations. Failure to fund this request will mean giving up the capability to respond proactively in examining securities firms.
	3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? These objectives support both the strategic issues in paragraph one above. • Objectives: - Establish an Examination Unit to proactively audit securities firms and ensure compliance with Missouri's laws - Provide technical expertise on complex broker/dealer investigations • Strategies: - Hire a Securities Enforcement Auditor I, a Securities Enforcement Auditor II, and a half-time Clerk Typist II to establish the Examination Unit - Establish a schedule of securities examinations to ensure compliance with Missouri law

PROGRAM DECISION ITEM ANALYSIS FORM 5

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DECISION ITEM RANK <u>008</u> OF <u>008</u>		
DECISION ITEM NO. <u>042</u>		

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

The following costs are associated with this decision item. E&E costs were taken from the OA guidelines for expense and equipment except for the costs associated with a personal computer and software, where an SOS standard office configuration was used to ensure compatibility

Personnel Services

Securities Enforcement Auditor I (Range 27, Step C)	\$31,188	1.00 FTE
Securities Enforcement Auditor II (Range 28, Step C)	\$32,520	1.00 FTE
Clerk Typist II (Range 9, Step C)	<u>\$7,968</u>	.50 FTE
	<u>\$71,676</u>	

Expense and Equipment

Ongoing Operating Expenses (Travel, office supplies, EDP)	\$43,464
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TOTAL	\$115,140
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This request will be funded entirely from the SOS Institutional Gift Trust Fund.

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DECISION ITEM RANK 008
 DECISION ITEM NO. 042 NAME: SECURITIES EXAMINATION UNIT

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE	AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE	AMOUNT	BUDGET YEAR REQUEST FTE	AMOUNT	GOVERNOR RECOMMENDS FTE	AMOUNT
CLERK TYPIST II					.50	7,968	.50	7,968
SECURITIES ENFORCE AUDITOR II					1.00	32,520	1.00	32,520
SECURITIES ENFORCE AUDITOR I					1.00	31,188	1.00	31,188
FUND SUBTOTAL								
SEC ST INSTIT					2.50	71,676	2.50	71,676
FORM 6 SUBTOTAL					2.50	71,676	2.50	71,676
TOTAL DECISION								
SEC ST INSTIT					2.50	71,676	2.50	71,676
GRAND TOTAL					2.50	71,676	2.50	71,676

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 OFFICE OF SECRETARY OF STATE
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EXPENSE AND EQUIPMENT
 FORM 7

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DECISION ITEM RANK 008
 DECISION ITEM NO. 042 NAME: SECURITIES EXAMINATION UNIT

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE			13,000	13,000
OFFICE EXPENSE			900	900
OFFICE & COMM EQUIP PURCHASE			8,725	8,725
DATA PROC EXPENSE & EQUIPMENT			7,680	7,680
PROFESSIONAL SERVICES			13,159	13,159
TOTAL EQUIPMENT	-----	-----	43,464	43,464
SOURCE OF FUND SUMMARY SEC ST INSTIT			43,464	43,464
GRAND TOTAL	=====	=====	43,464	43,464

OTHER FUNDS

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 LOCAL RECORDS GRANTS
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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	TOTAL
PROGRAM SPECIFIC DIST				
LOCAL RECORDS	445,667	500,000	400,000 <400,000 >	400,000 <400,000 >
	-----	-----	-----	-----
TOTAL	445,667	500,000	400,000 <400,000 >	400,000 <400,000 >
GRAND TOTAL	445,667	500,000	400,000 <400,000 >	400,000 <400,000 >
	=====	=====	=====	=====
SOURCE OF FUNDS SUMMARY				
LOCAL RECORDS	445,667	500,000	400,000 <400,000 >	400,000 <400,000 >

NO. EMPLOYEE FTES

LEVEL 1 SECRETARY OF STATE
LEVEL 2 LOCAL RECORDS GRANTS
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PROGRAM DECISION ITEM
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DECISION ITEM RANK 001
DECISION ITEM NO. 005 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PROGRAM SPECIFIC DIST LOCAL RECORDS	500,000	400,000	400,000
TOTAL PROGRAM SPECIFIC	500,000	400,000	400,000
TOTAL DECISION ITEM	500,000	400,000	400,000

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="padding: 2px;">LEVEL 1 OFFICE OF THE SECRETARY OF STATE</td></tr> <tr><td style="padding: 2px;">LEVEL 2 LOCAL RECORDS GRANTS</td></tr> <tr><td style="padding: 2px;">LEVEL 3</td></tr> <tr><td style="padding: 2px;">LEVEL 4</td></tr> <tr><td style="padding: 2px;">LEVEL 5</td></tr> </table>	LEVEL 1 OFFICE OF THE SECRETARY OF STATE	LEVEL 2 LOCAL RECORDS GRANTS	LEVEL 3	LEVEL 4	LEVEL 5	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">NAME OF DECISION ITEM:</td> <td style="padding: 2px;">CORE REQUEST</td> </tr> <tr> <td style="padding: 2px;">DECISION ITEM RANK</td> <td style="padding: 2px;">001 OF 008</td> </tr> <tr> <td style="padding: 2px;">DECISION ITEM NO.</td> <td style="padding: 2px;">005</td> </tr> </table>	NAME OF DECISION ITEM:	CORE REQUEST	DECISION ITEM RANK	001 OF 008	DECISION ITEM NO.	005	PAGE
LEVEL 1 OFFICE OF THE SECRETARY OF STATE													
LEVEL 2 LOCAL RECORDS GRANTS													
LEVEL 3													
LEVEL 4													
LEVEL 5													
NAME OF DECISION ITEM:	CORE REQUEST												
DECISION ITEM RANK	001 OF 008												
DECISION ITEM NO.	005												

1.	STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed.
A.	Preservation and archiving of public information (SOS strategic plan, page 12) - Assist local governments in preserving their valuable historical documents - Identify, collect, and preserve records of historical value of Missouri's state and local governments provided to the public
2.	EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.
The Local Records program administered by the Office of the Secretary of State is funded by user fees collected by recorders of deeds for real estate transactions and marriage licenses. These funds are earmarked for local records preservation work. As part of the on-going program, local records money is returned to local governments in the form of grants. Missouri local governments submit proposals that address their specific needs in archives/records management. The Historical Records Advisory Board, in concert with the Local Records Program Fiscal Grant Officer, establishes priorities and implement and audit the return of money to the local governments. Most grants fall within a range of \$5,000 to \$10,000, but may be greater. The amount for grants funded in a given year is dependent on revenues collected and the fund balance. For this grant funding, the Office of the Secretary of State receives approximately 4,000 reels of silver master microfilm per year from local governments. The MSIC provides secure storage of this master microfilm as well as a quality control function for the local governments. This centralized depository of information provides greater access and service to the citizens of Missouri. Failure to fund this decision item could result in the loss of historically important records of the state of Missouri.	
3.	OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished?
• Objectives: - Preserve documents of historical significance to Missouri local governments - Establish and maintain effective archives/records management systems at the local government level • Strategies: - Provide grants to local governments earmarked for document preservation and records management	

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 LOCAL RECORDS GRANTS		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		005

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Receive reels of silver master microfilm of local government records	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Number of grant projects funded	73	77	62	62
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. Core budget request. There were no one-time costs in FY 1997. The following core reduction was taken to reflect the level of revenues and the fund balance in the Local Records Fund: (\$100,000) Local Records Fund				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 SEC OF STATE-REFUNDS
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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
 PAGE

	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	TOTAL
PROGRAM SPECIFIC DIST				
GENERAL REVENUE	5,318,926	5,400,000	5,400,000 <5,400,000 >	5,400,000 <5,400,000 >
	-----	-----	-----	-----
TOTAL	5,318,926	5,400,000	5,400,000 <5,400,000 >	5,400,000 <5,400,000 >
GRAND TOTAL	5,318,926	5,400,000	5,400,000 <5,400,000 >	5,400,000 <5,400,000 >
	=====	=====	=====	=====
SOURCE OF FUNDS SUMMARY				
GENERAL REVENUE	5,318,926	5,400,000	5,400,000 <5,400,000 >	5,400,000 <5,400,000 >
NO. EMPLOYEE FTES				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 SEC OF STATE-REFUNDS
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 006 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PROGRAM SPECIFIC DIST GENERAL REVENUE	5,400,000	5,400,000	5,400,000
TOTAL PROGRAM SPECIFIC	5,400,000	5,400,000	5,400,000
TOTAL DECISION ITEM	5,400,000	5,400,000	5,400,000

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 SECRETARY OF STATE REFUNDS		
LEVEL 3		
LEVEL 4		
LEVEL 5		

DECISION ITEM RANK	<u>001</u>	OF	<u>008</u>	
DECISION ITEM NO.	<u>006</u>			

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Provide quality customer service (SOS strategic plan, page 9) - Refund money owed to tax and fee payers for overpayments of franchise taxes and statutory fee services - Process and pay refunds in a timely manner	2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. The operating divisions of the Office of the Secretary of State collect revenues in the form of franchise taxes and fees paid for services. Refunds are reimbursements to tax and fee payers when an overpayment to the state has occurred. This appropriation is used for refunds occurring in all divisions within the office except special funds. Almost all of this appropriation will be for the refund of franchise tax overpayments. When corporations pay their franchise tax, many file for an extension because they do not have adequate information to determine the tax owed. They are required by statute to pay at least 90% of the tax owed or pay penalties and interest. Many corporations overestimate the amount due in order to avoid interest and penalties. When the correct amount is determined at a later date, the corporation may be owed a refund. Requests for services that have a statutory fee may be accompanied by a check for an incorrect amount. Rather than return the check and delay processing the request, this office will deposit the check and refund the excess fee collected. These refunds are a small amount of total refunds and provide faster and better service for customers of the Office of the Secretary of State. Because it is not possible to predict the number of overpayments in a given year, this request is for an estimated appropriation. This allows the timely payment of participating newspapers should there be more issues than anticipated.
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PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 SECRETARY OF STATE REFUNDS		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		006

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objectives: - Ensure that all refunds for overpayment of franchises taxes and user fees are processed and paid in a timely manner - Strategies: - Maintain funding to pay refunds				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
All refunds paid in a timely manner				
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Refunds paid	\$5,318,470	\$5,400,000	\$5,400,000	\$5,400,000
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. Core budget request. There were no one-time costs in FY 1997. This is an Estimated Appropriation.				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 ELECTIONS-PUBLIC NOTICE
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 LEVEL 4
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 LEVEL 6

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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	TOTAL
EXPENSE AND EQUIPMENT				
GENERAL REVENUE	74,794	400,000		
TOTAL	74,794	400,000		
PROGRAM SPECIFIC DIST				
GENERAL REVENUE		100,000	100,000 <100,000 >	100,000 <100,000 >
TOTAL		100,000	100,000 <100,000 >	100,000 <100,000 >
GRAND TOTAL	74,794	500,000	100,000 <100,000 >	100,000 <100,000 >
SOURCE OF FUNDS SUMMARY				
GENERAL REVENUE	74,794	500,000	100,000 <100,000 >	100,000 <100,000 >

NO. EMPLOYEE FTES

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 LEVEL 2 ELECTIONS-PUBLIC NOTICE
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 007 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT			
GENERAL REVENUE	400,000		
TOTAL EXPENSE & EQUIP	400,000		
PROGRAM SPECIFIC DIST			
GENERAL REVENUE	100,000	100,000	100,000
TOTAL PROGRAM SPECIFIC	100,000	100,000	100,000
TOTAL DECISION ITEM	500,000	100,000	100,000

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 ELECTIONS - PUBLIC NOTICE		
LEVEL 3		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK	001 OF 008
DECISION ITEM NO.		007

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Provide enhanced opportunity to vote (SOS strategic plan, page 17) - Publish the complete text of all proposed ballot issues in local newspapers as required by state statute - Provide voters with the information to make informed voting choices	
2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. Publishing the complete text of all proposed ballot issues in local newspapers is a statutory requirement of the election process. All such ballot issues are published so that citizens are given the opportunity to read and understand the proposed changes prior to an election. This appropriation is used only for the publication costs associated with such ballot issues. Because it is not possible to predict the number of ballot issues that might be approved in a given year, this request is for an estimated appropriation. This allows the timely payment of participating newspapers should there be more issues than anticipated. Expenses for elections publication are historically lower in even-numbered fiscal years, although special elections may also come up during these off years.	
3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? • Objectives: - Ensure that all ballot issues are published in a timely manner as required by state statute • Strategies: - Provide "estimated" funding for payment of elections publication expenses	

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE		
LEVEL 2 ELECTIONS - PUBLIC NOTICE				
LEVEL 3				
LEVEL 4				
LEVEL 5				
DECISION ITEM RANK		001	OF	008
DECISION ITEM NO.		007		

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
All ballot issues are published in a timely manner				
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Ballot issue expenditures	\$74,739	\$500,000	\$100,000	\$500,000
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.				
Core budget request. There were no one-time costs in FY 1997. The following core reduction was taken to reflect the fact that the Office of the Secretary anticipates that publications expense for ballot issues will be lower in FY 1998 due to the timing of elections issues. This figure is anticipated to rise again in FY 1999. (\$400,000) General Revenue funds This is an Estimated Appropriation.				

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 LEVEL 2 ELECTIONS-PUBLIC NOTICE
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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
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DECISION ITEM RANK 001
 DECISION ITEM NO. 007 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
OFFICE EXPENSE	74,794	400,000		
TOTAL EQUIPMENT	74,794	400,000		
SOURCE OF FUND SUMMARY				
GEN REV FUND	74,794	400,000		
GRAND TOTAL	74,794	400,000		

STATE LIBRARY

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
 LEVEL 4
 LEVEL 5
 LEVEL 6

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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	7 / 8 MARCIVE INDEX SYS	7 / 8 SUMMER READ PROGRAM	TOTAL
PERSONAL SERVICES							
GENERAL REVENUE	531,053	591,578	591,578	23,663			
			<598,748 >	<23,663 >			
FEDERAL FUNDS	258,231	424,432	424,432	16,977			
			<429,570 >	<16,977 >			
TOTAL	789,284	1,016,010	1,016,010	40,640			
			<1,028,318 >	<40,640 >			
EXPENSE AND EQUIPMENT							
GENERAL REVENUE	447,584	398,781	398,781		22,500	23,000	
			<398,781 >		<22,500 >	<23,000 >	
FEDERAL FUNDS	102,052	133,574	133,574				
			<133,574 >				
TOTAL	549,636	532,355	532,355		22,500	23,000	
			<532,355 >		<22,500 >	<23,000 >	
GRAND TOTAL	1,338,920	1,548,365	1,548,365	40,640	22,500	23,000	
			<1,560,673 >	<40,640 >	<22,500 >	<23,000 >	
SOURCE OF FUNDS SUMMARY							
GENERAL REVENUE	978,637	990,359	990,359	23,663	22,500	23,000	
			<997,529 >	<23,663 >	<22,500 >	<23,000 >	
FEDERAL FUNDS	360,283	558,006	558,006	16,977			
			<563,144 >	<16,977 >			
NO. EMPLOYEE FTES	30.08	35.80	35.80				
			<35.80 >				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
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	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	7 / LITERACY PROGRAM 8	TOTAL
PERSONAL SERVICES				
GENERAL REVENUE				615,241
FEDERAL FUNDS				<622,411 >
				441,409
				<446,547 >
TOTAL				1,056,650
				<1,068,958 >
EXPENSE AND EQUIPMENT				
GENERAL REVENUE			17,000	461,281
FEDERAL FUNDS			<17,000 >	<461,281 >
				133,574
				<133,574 >
TOTAL			17,000	594,855
			<17,000 >	<594,855 >
GRAND TOTAL			17,000	1,651,505
			<17,000 >	<1,663,813 >
SOURCE OF FUNDS SUMMARY				
GENERAL REVENUE			17,000	1,076,522
FEDERAL FUNDS			<17,000 >	<1,083,692 >
				574,983
				<580,121 >
NO. EMPLOYEE FTES				35.80
				<35.80>

...
LEVEL 1 SECRETARY OF STATE
LEVEL 2 STATE LIBRARY
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PROGRAM DECISION ITEM
FORM 5

GOVERNOR
PAGE

DECISION ITEM RANK 001
DECISION ITEM NO. 009 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
BUDGET CLASS/FUND			
PERSONAL SERVICE			
GENERAL REVENUE	591,578	591,578	598,748
FEDERAL	424,432	424,432	429,570
TOTAL PERSONAL SERVICE	1,016,010	1,016,010	1,028,318
EXPENSE & EQUIPMENT			
GENERAL REVENUE	398,781	398,781	398,781
FEDERAL	133,574	133,574	133,574
TOTAL EXPENSE & EQUIP	532,355	532,355	532,355
TOTAL DECISION ITEM	1,548,365	1,548,365	1,560,673
NO. EMPLOYEE FTE	35.80	35.80	35.80
6. PERFORMANCE MEASURE:			

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
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LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		009

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.
- A. Provide quality customer service (SOS strategic plan, page 9)
- Deliver responsive and timely service to public libraries and to the citizens of Missouri
 - Emphasize courtesy and mutual respect to all customers
- B. Enhance information access (SOS strategic plan, page 10)
- All Missouri citizens will have access to information resources through a local public library service
 - Missouri citizens will have access to high quality reference services to meet their information needs
 - Develop programs to provide library services in parts of Missouri that are not currently served by libraries
 - Electronically link libraries across the state in order to share library resources
 - Improve state government access to the materials and collections of the State Library Reference and documents collection
- C. Leadership and expertise in information services (SOS strategic plan, page 14)
- Help Missouri citizens use new information technologies by increasing the skill levels of those who govern, direct and work in libraries
 - Provide guidance and direction in the development of library automation systems for the state's public libraries
- D. Effectively utilize information technology (SOS strategic plan, page 15)
- Missouri citizens will have access to information through electronic resources available through their local libraries and statewide programs
 - Acquire and utilize the latest information technology to create a state database for library materials
 - Explore the use of new methods to deliver training including distance education and coordinate the efforts of providers of library training to eliminate duplication of effort and insure coverage of needed subjects
- E. Human resource management and development (SOS strategic plan, page 18)
- Acquire and maintain the correct mix of skill sets to accomplish library missions and meet statutory obligations
- F. Promote the establishment and development of stronger libraries (SOS strategic plan, page 21)
- Implement plans to address the needs of Missouri libraries for the next five years
 - Missouri citizens who live in areas that may fall below the average of the state will have improved library services
 - Provide equity in library funding across library districts
 - Improve public awareness of library services
 - Maintain current statewide programs of service to libraries
 - Encourage the development of library services in areas of the state where there are currently no libraries

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK 001 OF 008		
DECISION ITEM NO. 009		

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the continued operation of the Missouri State Library which includes:

- Office of the State Librarian
 - The State Librarian acting for the Secretary of State has statutory responsibility for 9 legislatively mandated services under Chapter 181.
- Reference Services to state government and the provision of a special library serving state government. This includes:
 - Operating a special library for state agency personnel, the offices and staff of Missouri's elected officials, the legislature, and the general public. This collection consists of 81,000 cataloged books, 414 periodical subscriptions, 21 newspaper subscriptions, 161,000 federal documents, and 47,000 state documents.
 - Serving as the official depository library for publications from the state and federal government.
 - Operating the statewide depository library system for all state publications issued for public distribution. Publications are sent to 44 public and academic libraries within the state to assure widespread distribution of state agency materials.
 - Offering daily reference and interlibrary loan service for state agency researchers, including a telephone and walk-in assistance, photocopying and duplication services, a newspaper clipping service, electronic database searching, monthly current awareness bibliographies, and content routings.
- Library Development Services to libraries throughout the state. This includes:
 - The survey of services given by libraries which may be established or assisted under any law for state grants-in-aid to libraries;
 - Coordination of library services furnished by the state with those of local libraries and other educational agencies;
 - Furnishing information and counsel as to the best means of establishing and maintaining libraries, the selection of materials, cataloging, and other details of library management; provide assistance in organizing libraries or improving service given by them and assist library services in state institutions.
 - Receiving and administering grants from the federal government for public libraries or other types of library service;
 - Administer state grants-in-aid and encourage local support for the betterment of local library service; and
 - Generally promote an effective statewide public library system.

The positive impact of funding the Missouri State Library core budget request is to meet the statutory obligations which implement Article X, Section 10 of the Constitution. The services provided by the State Library to both state government and local libraries will be continued and strengthened through the core budget request. The negative impact of not funding this item would be for state government to incur extraordinary costs as state personnel would turn to other sources in an uncoordinated and duplicative approach to information. Libraries and library services in Missouri would deteriorate as local libraries would have no support from statewide services and programs provided by the State Library.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE BUDGET	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		009

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

The Missouri State Library has established multiple goals, objectives, and strategies addressing the strategic issues affecting its responsibilities. Additional detail is provided in the SOS strategic plan. Selected high priority objectives for FY 1998 include:

Issue B - Enhance information access

- Work with the Secretary of State's Council on Library Development to develop strategies to provide library service to unserved areas including encouraging the establishment of library districts and contracts for service with adjacent areas or local college or school libraries
- Assess ways to provide equalization funds through the state aid to public libraries program and implement a revised state aid program which includes equalization aid
- Through competitive grants and statewide programs, use federal program funds to provide basic equipment and other support needed for public libraries to access electronic information effectively
- Provide better indexing for state and federal publications so that access to the libraries documents collections are integrated into the State Library automated catalog.

Issue D - Effectively utilize information technology

- Provide implementation procedures, ongoing training and support for the use of the statewide database
- Work with MOREnet to provide Internet access to all Missouri public libraries
- Work with MOREnet to provide electronic information through statewide contracts and leases
- Complete the implementation of the state library automated system and expand utilization of the collection through on-line transmission to state employees
- Promote successful service initiatives which focus on newly developed electronic formats
- Help Missouri citizens use new information technologies by increasing skill levels of those who govern, direct and work in libraries by implementing training program plans for library staff and trustees developed by a statewide library education committee

Issue F - Promote the establishment and development of stronger libraries

- Work with the Secretary of State's Council on Library Development to develop a five-year plan to address the critical needs identified in public forums including making effective use of new technology, staff and trustee training, services in unserved areas, equity in library funding, public awareness of library services, literacy program and maintaining and expanding current statewide programs.
- Use priorities from the plan to develop the annual program for the use of federal funds.
- Use priorities from the plan to direct annual performance plans for staff of the Missouri State Library.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE BUDGET
LEVEL 2 MISSOURI STATE LIBRARY	
LEVEL 3	
LEVEL 4	
LEVEL 5	
DECISION ITEM RANK 001 OF 008	
DECISION ITEM NO. 009	

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4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Preparation of a five-year plan for library development Public libraries with automation systems which meet current standards for interconnectivity and user friendliness Public libraries in Missouri connected to the Internet. Smaller public libraries have backup reference service for difficult or unusual questions they are unable to answer using their local reference materials. Library staffs trained to use new information technologies effectively to meet needs of library users Percent completion of the statewide database Percentage of counties at equity level for state funding (Relates to new decision item for state aid to public libraries)				

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE BUDGET	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		009

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Partnerships with state agencies, statewide organizations and local communities				
State and federal grants distributed				
Number of documents in the official state documents depository				
Interlibrary loan requests processed				
Library development conferences held				
Continuing education classes provided for library staffs, trustees, and Census Data Center affiliates				
Census data requests handled and Internet access to Missouri information provided for state agencies, libraries, regional planning commissions and citizens				
Consulting visits to libraries and Census Data Center affiliates				
Operate statewide catalog of materials of Missouri Libraries to facilitate resource sharing				
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.				
Core budget request - There were no one-time costs for FY 1997.				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
 LEVEL 4
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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 001
 DECISION ITEM NO. 009 NAME: CORE REQUEST

GOVERNOR
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PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE AMOUNT	BUDGET YEAR REQUEST FTE AMOUNT	GOVERNOR RECOMMENDS FTE AMOUNT
LIBRARIAN		5.00 149,396		
ADMINISTRATIVE SECRETARY	1.56 35,926		1.00 25,452	1.00 25,452
COMPOSING EQUIPMENT OPERATOR	1.00 19,680		1.00 20,820	1.00 20,820
CLERK TYPIST I	.41 6,070		1.00 14,856	1.00 14,856
CLERK TYPIST II	1.27 21,937	1.00 16,561	2.00 35,004	2.00 35,004
COMPUTER INFO SPECIALIST II	1.00 26,028		2.00 62,000	2.00 62,000
PROGRAMMER TRAINEE			1.00 22,224	1.00 22,224
PART-TIME SUMMER	.71 7,491		.30 7,054	.30 7,054
PART-TIME OTHER	.16 1,558	1.80 35,951	.50 7,800	.50 7,800
SENIOR CONSULTANT			2.00 81,832	2.00 81,832
PUBLICATIONS COORDINATOR		1.00 25,069		
REFERENCE LIBRARIAN	.63 19,245		1.00 29,952	1.00 29,952
FINANCIAL ASSISTANT	1.00 29,328	1.00 31,088	1.00 31,032	1.00 31,032
STATE LIBRARIAN	1.00 62,496		1.00 66,120	1.00 66,120
CLERK I	.36 5,318		1.00 14,856	1.00 14,856
ACCOUNT CLERK II	.42 8,670	1.00 22,052	1.00 21,228	1.00 21,228
COMPOSING EQUIP OPER I		1.00 20,861		
LIBRARY CONSULT AUTOMATION	.59 27,146	1.00 49,329	1.00 31,500	1.00 31,500
OFFICE SERVICES COORDINATOR	.33 6,876			
LIBRARIAN	5.00 140,952		5.00 154,636	5.00 154,636
DIRECTOR LIBRARY PROJECTS	1.00 33,996		1.00 40,000	1.00 40,000
COMPUTER INFO SPEC II		1.00 27,590		
COMPUTER INFO SPEC IV	.94 27,495	1.00 33,797		
DIRECTOR-LIBRARY DEVELOPMNT	1.00 35,176	1.00 42,636	1.00 41,652	1.00 41,652
LIBRARY CONSULTANT	2.70 82,256	8.00 233,104	4.00 126,504	4.00 126,504
DIRECTOR-REF SERVICES	1.00 41,724	1.00 44,230	1.00 44,148	1.00 44,148
REFERENCE ASSISTANT I	6.00 101,460	6.00 107,536	6.00 107,340	6.00 107,340
REFERENCE ASSISTANT II	1.00 24,804	1.00 26,286		
PUBLICATIONS COORDINATOR	1.00 23,652		1.00 30,000	1.00 30,000
DIRECTOR-LIBRARY PROJECTS		1.00 36,036		
ADMINISTRATIVE SECRETARY		2.00 48,238		
STATE LIBRARIAN		1.00 66,250		
FUND SUBTOTAL				
GEN REV FUND	20.66 531,053	20.70 591,578	20.90 591,578	20.90 591,578
FEDERAL FUND	9.42 258,231	15.10 424,432	14.90 424,432	14.90 424,432
FORM 6 SUBTOTAL	30.08 789,284	35.80 1,016,010	35.80 1,016,010	35.80 1,016,010

LEVEL 1 SECRETARY OF STATE
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PERSONAL SERVICES
 FORM 6

GOVERNOR
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DECISION ITEM RANK 001
 DECISION ITEM NO. 009 NAME: CORE REQUEST

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE	AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE	AMOUNT	BUDGET YEAR REQUEST FTE	AMOUNT	GOVERNOR RECOMMENDS FTE	AMOUNT
FLEXIBLE BENEF								
GEN REV FUND								1,254
FEDERAL FUND								894
COST OF LIVING								
GEN REV FUND								5,916
FEDERAL FUND								4,244
TOTAL DECISION								
GEN REV FUND	20.66	531,053	20.70	591,578	20.90	591,578	20.90	598,748
FEDERAL FUND	9.42	258,231	15.10	424,432	14.90	424,432	14.90	429,570
GRAND TOTAL	30.08	789,284	35.80	1,016,010	35.80	1,016,010	35.80	1,028,318

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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
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DECISION ITEM RANK 001
 DECISION ITEM NO. 009 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	16,181	29,000	29,000	29,000
OFFICE EXPENSE	70,246	63,000	63,000	63,000
OFFICE & COMM EQUIP PURCHASE	41,965			
COMMUNICATIONS EXPENSE	39,706	29,012	29,012	29,012
INST AND PHYS PLANT EXPENSE	122,793	146,843	146,843	146,843
INST & PHYS PLANT EQUIP PURCH		1,000	1,000	1,000
DATA PROC EXPENSE & EQUIPMENT	239,215	245,500	245,500	245,500
PROFESSIONAL SERVICES	698	7,000	7,000	7,000
OTHER EXPENSES	18,832	11,000	11,000	11,000
	-----	-----	-----	-----
TOTAL EQUIPMENT	549,636	532,355	532,355	532,355
SOURCE OF FUND SUMMARY				
GEN REV FUND	447,584	398,781	398,781	398,781
FEDERAL FUND	102,052	133,574	133,574	133,574
GRAND TOTAL	549,636	532,355	532,355	532,355
	=====	=====	=====	=====

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 002
 DECISION ITEM NO. 022 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		23,663	23,663
FEDERAL		16,977	16,977
TOTAL PERSONAL SERVICE		40,640	40,640
TOTAL DECISION ITEM		40,640	40,640

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE _____
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK <u>002</u> OF <u>008</u>		
DECISION ITEM NO. <u>022</u>		

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. The Missouri State Library has identified the following strategic issue and goals that affect its delivery of services. A. Human resource management and development (SOS Plan, page 18) - Reward quality performance and professionalism - Maintain a competitive compensation program	
2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.	

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE _____		
LEVEL 2 MISSOURI STATE LIBRARY				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	002	OF	008
		DECISION ITEM NO.	022	

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Personnel of the Office of the Secretary of State will: - have appropriate skills - Improve and expand public services - Continue in state government service				
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Current level of services will be maintained				

6. **COST EXPLANATION** - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4%

<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>
General Revenue	\$591,578	\$23,663
Federal Funds	\$424,432	\$16,977

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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 002
 DECISION ITEM NO. 022 NAME: WITHIN GRADE

GOVERNOR
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PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE AMOUNT	BUDGET YEAR REQUEST FTE AMOUNT	GOVERNOR RECOMMENDS FTE AMOUNT
ADMINISTRATIVE SECRETARY			1.00 1,018	1.00 1,018
COMPOSING EQUIP OPERATOR			1.00 833	1.00 833
CLERK TYPIST I			1.00 594	1.00 594
CLERK TYPIST II			2.00 1,401	2.00 1,401
COMPUTER INFO SPEC II			2.00 2,480	2.00 2,480
PROGRAMMER TRAINEE			1.00 889	1.00 889
PART-TIME SUMMER			.30 282	.30 282
PART-TIME OTHER			.50 312	.50 312
SENIOR CONSULTANT			2.00 3,273	2.00 3,273
REFERENCE LIBRARIAN			1.00 1,198	1.00 1,198
FINANCIAL ASSISTANT			1.00 1,241	1.00 1,241
STATE LIBRARIAN			1.00 2,645	1.00 2,645
REFERENCE SERVICE SHELVING			1.00 594	1.00 594
ACCOUNT CLERK II			1.00 849	1.00 849
LIBRARY CONSULTANT AUTOMATION			1.00 1,260	1.00 1,260
LIBRARIAN			5.00 6,185	5.00 6,185
DIRECTOR LIBRARY PROJECTS			1.00 1,600	1.00 1,600
DIRECTOR LIBRARY DEVELOPMENT			1.00 1,666	1.00 1,666
LIBRARY CONSULTANT			4.00 5,060	4.00 5,060
DIRECTOR REFERENCE SERVICE			1.00 1,766	1.00 1,766
REFERENCE ASSISTANT I			6.00 4,294	6.00 4,294
PUBLICATIONS COORDINATOR			1.00 1,200	1.00 1,200
FUND SUBTOTAL				
GEN REV FUND			20.90 23,663	20.90 23,663
FEDERAL FUND			14.90 16,977	14.90 16,977
FORM 6 SUBTOTAL			35.80 40,640	35.80 40,640
TOTAL DECISION				
GEN REV FUND			20.90 23,663	20.90 23,663
FEDERAL FUND			14.90 16,977	14.90 16,977
GRAND TOTAL			35.80 40,640	35.80 40,640

LEVEL 1 SECRETARY OF STATE
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 007
 DECISION ITEM NO. 038 NAME: MARCIVE INDEXING SYSTEM

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT			
GENERAL REVENUE		22,500	22,500
TOTAL EXPENSE & EQUIP		22,500	22,500
TOTAL DECISION ITEM		22,500	22,500

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: MARCIVE INDEXING SYSTEM	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 REFERENCE SERVICES DIVISION		
LEVEL 4	DECISION ITEM RANK <u>007</u> OF <u>008</u>	
LEVEL 5	DECISION ITEM NO. <u>038</u>	

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Enhance information access - Improve access to federal government resources, thereby improving library service to state government researchers, agencies, the legislative and judicial branches of state government and to the public	2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. The federal documents collection of the State Library is currently excluded from on-line access with other library resources. The separate cataloging and indexing sources used with the federal documents collection prohibit the library staff and users from identifying federal documents on any topic with "one-stop searching". The federal documents are a vital part of the library collection with heavy in-library usage and circulation outside the library. Purchasing the MARCIVE electronic government documents database system allows the federal documents collection to be included on the library automated system, and provides "one-stop searching" to all library resources. It would make the federal document collection available statewide on the Internet. The MARCIVE CD-ROM database service supplements the library profile with the additional MARC records for federal documents and is the major reference index for documents in the Federal Depository Library Program operating at the State Library. The services offered by the Reference Services Division which would be enhanced and increased by the MARCIVE subscriptions are: database subject searches, specific document title searches, public law and congressional hearing searches, and use of electronic documents catalog. The usage and circulation of federal documents will increase with timely, efficient searching access via the library's automated system. The CD-ROM subscription identifies all documents available through the federal depository program, including the State Library and all other Missouri depository libraries. Without these MARCIVE services and the CD-ROM subscription the library staff and state researchers will continue struggling to use the federal documents collection, relying on a combination of manual and separate indexing. These four MARCIVE services will allow for faster and more efficient identification of the highly useful documents in the State Library's collection.
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PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: MARCIVE INDEXING SYSTEM	PAGE		
LEVEL 2 MISSOURI STATE LIBRARY				
LEVEL 3 REFERENCE SERVICES DIVISION				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	007	OF	008
		DECISION ITEM NO.	038	

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? - Objectives: - Automate the federal documents collection with MARC records from 1976 to-date - Strategies: - Purchase of four MARCIVE database components and load on the library's automated system: (1) The MARCIVE Enhanced GPO Database Retrospective Conversion Service covers 1976 to-date records profiled to the library's records. This is a one time service and cost. (2) The MARCIVE Enhanced GPO Database Ongoing Conversion Service covers the currently issued publications with full MARC records. This is an annual recurring cost based on the library's profile. (3) The MARCIVE GPO Shipping List Service covers the newest materials with partial MARC records. This is an annual recurring cost based on the library profile. The U.S. Government Printing Office catalogs the federal records for the Federal Depository Library Program. (4) MARCIVE GPO CAT/PAC Plus is the annual recurring subscription for the public access CD-ROM which allows for full subject, title, etc. searching of the GPO database from 1976 to-date. This is a recurring annual cost.				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Number of federal documents subject requests (estimate 25% increase after MARCIVE in FY98 and 15% in FY99)	1,868	2,335	2,919	3,356
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Total number of federal documents transactions (estimate 25% increase after MARCIVE in FY98 and 15% in FY99)	4,468	5,101	5,228	6,012

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: MARCIVE INDEXING SYSTEM	PAGE		
LEVEL 2 MISSOURI STATE LIBRARY				
LEVEL 3 REFERENCE SERVICES DIVISION				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	007	OF	008
DECISION ITEM NO.		038		

6. **COST EXPLANATION** - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Personal service and/or Expense and equipment. Costs were calculated as follows:

1. MARCIVE Enhanced GPO Database Retrospective Conversion Service (One-time cost) \$16,600.
 - a. Profile fee (paid with retrospective or ongoing)
 - b. Retrospective Extraction of GPO Records
 - c. Matching Authorities Records
 - d. SuDoc Number labels
2. MARCIVE Enhanced GPO Database Ongoing Conversion Service (Ongoing annual cost) \$2,700.
 - a. Profile fee (paid with retrospective or ongoing)
 - b. Ongoing GPO Database Service
 - c. New titles list
 - d. Profile changes
 - e. GPO Serials Backfile
3. MARCIVE GPO Shipping List Service (Ongoing annual cost) \$1,600.
 - a. Labels-paper and electronic
 - b. Electronic records with no periodicals, output via FTP
4. MARCIVE GPO CAT/PAC Plus is the annual recurring subscription for the public access CD-ROM which allows for full subject, title, etc. searching of the GPO database from 1976 to-date. (Ongoing annual cost) \$1,600.
 - a. CD-ROM, monthly issues

This request is for \$22,500. All costs are General Revenue.

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EXPENSE AND EQUIPMENT
FORM 7

GOVERNOR
PAGE

DECISION ITEM RANK 007
 DECISION ITEM NO. 038 NAME: MARCIVE INDEXING SYSTEM

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
DATA PROC EXPENSE & EQUIPMENT	-----	-----	22,500	22,500
TOTAL EQUIPMENT			22,500	22,500
SOURCE OF FUND SUMMARY				
GEN REV FUND			22,500	22,500
GRAND TOTAL	=====	=====	22,500	22,500

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PROGRAM DECISION ITEM
FORM 5

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DECISION ITEM RANK 007
DECISION ITEM NO. 039 NAME: SUMMER READING PROGRAM

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT GENERAL REVENUE		23,000	23,000
TOTAL EXPENSE & EQUIP		23,000	23,000
TOTAL DECISION ITEM		23,000	23,000

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SUMMER READING PROGRAM	PAGE
LEVEL 2	MISSOURI STATE LIBRARY		
LEVEL 3	LIBRARY DEVELOPMENT DIVISION		
LEVEL 4			
LEVEL 5		DECISION ITEM RANK	<u>007</u> OF <u>008</u>
		DECISION ITEM NO.	<u>039</u>

1. STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

- A. Promote the establishment and development of stronger public library services (SOS strategic plan, page 21)
 - Provide the capability for all Missouri children to participate in a summer reading program at their local library

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

Children need to develop a high degree of reading skills to be successful in school and in the adult work world. Preschool children become 'ready to read' and interested in reading through exposure to high quality books. Reading aloud to young children is the single most important activity for future success in reading. Parents and caregivers play a vital role in developing these emergent literacy skills in young children. Children who know how to read need to practice those skills learned during the school year, to prevent "summer learning loss." Parents and libraries working together can be powerful partners in the development of children's reading abilities.

Research shows that when children read as little as 20 minutes a day outside of school, reading skills improve significantly. Children who do not read over the summer are more likely to lose the gains they have made during the school year. Low-income students suffer academic losses over the summer largely because their environments are not reading-rich; they do not come from environments with plenty of books, where everyone reads, and where parents encourage reading. A new study, 'Reading Literacy in the United States' identified parental involvement as a critical factor in reading success.

In the summer, most school libraries are closed. Public libraries across the state offer summer reading programs to encourage family reading. Children receive awards and sometimes prizes for books they read, or which are read to young children by parents and caregivers. Parents are encouraged to model good reading habits for their children. Public library materials and programs are available to families at no cost, providing an abundant source of free books for low-income families.

Many libraries lack the resources and expertise to produce appealing materials to promote their summer reading programs. Library staffs need assistance with developing attractive, creative activities to encourage families to visit the library and take home and use reading materials during the summer months. In program evaluations, many smaller libraries report that they would not have a summer reading program without the program materials and ideas provided by the statewide summer reading program. Currently, children in over 90 public library districts participate in a summer reading program.

This request is for funds to expand the Summer Reading Program to provide services to more public libraries and to develop the program to reach teens and families. Previous funding has come from Federal grant money, but changes in the Federal program for libraries require that the program be targeted to children in poverty and those in underserved urban and rural areas.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SUMMER READING PROGRAM	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIBRARY DEVELOPMENT DIVISION		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK <u>007</u> OF <u>008</u>	
DECISION ITEM NO.		<u>039</u>

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

Objective: The Missouri State Library will develop and distribute high quality summer reading program materials for local public libraries to use to conduct their own local summer reading program.

Strategy: A Summer Reading Program Committee composed of Missouri librarians works with the Missouri State Library to develop this program. The Committee chooses a theme for the program, locates a suitable artist to produce graphic designs, and compiles a manual of program ideas for use by the local libraries. A start up kit of materials is distributed to each public library and branch library. These kits include a copy of the program manual and a small set of the promotional materials, sufficient for 100 children. Additional supplies of the program materials are made available for purchase by the libraries at cost. The program manuals include tips and ideas to encourage program participation by families in the library district.

Every August, all libraries are sent an evaluation form asking them to submit statistical information about their summer reading programs. They are asked to evaluate the program materials and manual. Each year, the State Library strives to increase both the number of libraries which provide a summer reading program, and the number of children who participate in the program.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Number of public libraries participating in the summer reading program	92 libraries	95 libraries	100 libraries	105 libraries
FY 96 program reflects participation by Missouri children ages 3-13. In 1996, 92 public libraries participated in the Missouri summer reading program, READiscover Missouri. Libraries ranged from small city libraries such as Salem, with 40 participants to large metropolitan libraries, such as Mid-Continent Public Library with 35,000 participants.				

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: SUMMER READING PROGRAM	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIBRARY DEVELOPMENT DIVISION		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		007 OF 008
DECISION ITEM NO.		039

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
The program provides program manuals, certificates, posters, bookmarks, and other miscellaneous promotional items. Items distributed:				
Program activity manuals	500	500	500	500
Certificates	20,000	20,000	25,000	30,000
Bookmarks	132,000	132,000	133,000	134,000
Posters	1,300	1,300	1,320	1,350
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.				
Expense and equipment				
\$3,000	Artist fees for graphic design of promotional materials			
\$18,300	Printing of program manuals, posters, certificates, bookmarks, and other promotional items.			
<u>\$1,700</u>	Postage			
Total	\$23,000			
This is an on-going expense. All costs are General Revenue.				

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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
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DECISION ITEM RANK 007
 DECISION ITEM NO. 039 NAME: SUMMER READING PROGRAM

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
OFFICE EXPENSE			18,300	18,300
COMMUNICATIONS EXPENSE			1,700	1,700
PROFESSIONAL SERVICES			3,000	3,000
TOTAL EQUIPMENT	-----	-----	23,000	23,000
SOURCE OF FUND SUMMARY				
GEN REV FUND			23,000	23,000
GRAND TOTAL	=====	=====	23,000	23,000

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PROGRAM DECISION ITEM
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GOVERNOR
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DECISION ITEM RANK 007
 DECISION ITEM NO. 040 NAME: LITERACY PROGRAMS

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT GENERAL REVENUE		17,000	17,000
TOTAL EXPENSE & EQUIP		17,000	17,000
TOTAL DECISION ITEM		17,000	17,000

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: LITERACY PROGRAMS	PAGE		
LEVEL 2 MISSOURI STATE LIBRARY				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	007	OF	008
DECISION ITEM NO.		040		

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

A. Strengthen Missouri's public libraries (SOS strategic plan, page 21)

- Improve the level of basic literacy skills among the citizens of Missouri
- Reach out to citizens needing help with literary development

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

Based on the 1990 census, there are 928,959 adults in Missouri, age 16 and above and not in school, who do not have a high school diploma (approximately 18% of the population). Research indicates that about 11% of the population (562,878 adults) in Missouri have problems with basic literacy skills.

Missouri's public libraries are in a unique position to address this problem. They serve as centers of lifelong learning in many of our communities. Literacy programs in public libraries can provide resources for GED students and their tutors, assist families with the development of pre-reading skills in young children, provide resources for parents on child development and parenting strategies

Gaps currently exist in the provision of literacy services. Missouri's public libraries, because of their expertise in children's programming and community outreach, can close some of these gaps by providing programs and resources to assist families and adult learners with increasing literacy. Participants in these programs will receive information to help better serve adult learners, to increase awareness of child development and to obtain strategies for parenting.

Family literacy and tutor training programs will bring new clients to the libraries involved. Libraries will strengthen ties to community service providers, allowing further program development and collaboration. Families, tutors and administrators participating in programs will receive information on parenting and adult education topics which will enable them to better assist their children and students to achieve higher levels of literacy.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: LITERACY PROGRAMS	PAGE		
LEVEL 2 MISSOURI STATE LIBRARY				
LEVEL 3				
LEVEL 4				
LEVEL 5				
DECISION ITEM RANK		007	OF	008
DECISION ITEM NO.		040		

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

- Objective #1: Work with 14 libraries to provide 42 family literacy workshops ("Family Nights at the Library"), focusing on parenting and/or adult education issues. Workshops will be held during the spring months, as a lead-in to the libraries' summer reading programs.

"Family Nights at the Library"—Families come to the library to hear discussions and participate in activities addressing "family" issues. Topics for these programs are selected by the local librarian, in collaboration with community partners, to best meet the needs of each community involved. Programs include early childhood activities and adult education and/or parenting sessions. At the conclusion of each program, a children's book (related to the topic of the evening) is read to the group. All children in attendance receive a copy of the children's book presented at story time.

- Objective #2: Work with 10 libraries to provide 30 Tutor Enrichment Training workshops to assist adult education tutors and administrators in addressing critical issues in adult literacy services. Workshops will be held during the late fall, which is the optimum time for maximum attendance.

This series of workshops builds community collaboration with service agencies and local public libraries. Workshops provide information to tutors and administrators on topics such as "Learning Styles," "Math Techniques," "Relating Literacy to Job Force Development." These are important issues to be addressed by tutors and adult learners preparing to take the GED and/or to move off of the welfare rolls.

- Objective #3: Provide training to library personnel on issues of family literacy, building community collaborations and building collections for new readers and tutors. Training for library personnel increases awareness about issues facing clients and literacy service providers.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Workshop participant satisfaction regarding topic selection and presentation				
Increased participation in local adult education and family literacy programs, including Parents As Teachers, Head Start, and ABE-GED classes, as a result of workshop attendance				
Increased volunteer tutor pool				
Library satisfaction regarding program design.				

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: LITERACY PROGRAMS	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK <u>007</u> OF <u>008</u>	
DECISION ITEM NO. <u>040</u>		

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
"Family Nights at the Library" program participants at 5 new sites	534	534	550 expected	550 expected
"Tutor Enrichment Training" program participants at 5 new sites	159	159	175 expected	175 expected
Library personnel workshop participants.	N/A	N/A	50 expected	50 expected

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Expense and equipment. Costs were calculated as follows:

<u>Family Literacy Programs:</u> (\$9,750) Programming at new participating libraries, 5 sites: Speaker fees and honoraria 15 programs @ \$300 \$3,000 Speaker travel reimbursement \$1,000 Program materials: 15 programs with 30 attending children (\$5.00/book) <u>\$2,250</u> Sub total \$7,750 Supplemental programming: funds for previous pilot libraries 14 libraries @ \$250 \$3,500 <u>Literacy workshop for library personnel:</u> Printing, postage and other costs (\$1,250)	<u>Tutor Enrichment Training:</u> (\$6,000) Programming at new participating libraries, 5 sites Speaker fees and honoraria 15 programs @ \$200 \$1,500 Speaker travel reimbursement \$1,500 Materials/printing <u>\$ 500</u> Sub total \$5,000 Supplemental programming: funds for previous pilot libraries 5 libraries @ \$500 \$2,500
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This request is for \$17,000. Expenses are on-going. All costs are General Revenue.

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
 LEVEL 4
 LEVEL 5
 LEVEL 6

23418

EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
 PAGE

DECISION ITEM RANK 007
 DECISION ITEM NO. 040 NAME: LITERACY PROGRAMS

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE			2,500	2,500
OFFICE EXPENSE			2,750	2,750
COMMUNICATIONS EXPENSE			1,250	1,250
PROFESSIONAL SERVICES			10,500	10,500
TOTAL EQUIPMENT	-----	-----	17,000	17,000
SOURCE OF FUND SUMMARY				
GEN REV FUND			17,000	17,000
GRAND TOTAL	=====	=====	17,000	17,000

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 LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
 LEVEL 4 STATE AID FOR PUBLIC LIBRARY 23500
 LEVEL 5
 LEVEL 6

DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
 PAGE

	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	5 / 8 INCREASE STATE AID	TOTAL
PROGRAM SPECIFIC DIST					
GENERAL REVENUE	1,964,448	1,964,448	1,964,448 <1,964,448 >	2,708,678 <196,445 >	4,673,126 <2,160,893 >
	-----	-----	-----	-----	-----
TOTAL	1,964,448	1,964,448	1,964,448 <1,964,448 >	2,708,678 <196,445 >	4,673,126 <2,160,893 >
GRAND TOTAL	1,964,448	1,964,448	1,964,448 <1,964,448 >	2,708,678 <196,445 >	4,673,126 <2,160,893 >
	=====	=====	=====	=====	=====
SOURCE OF FUNDS SUMMARY					
GENERAL REVENUE	1,964,448	1,964,448	1,964,448 <1,964,448 >	2,708,678 <196,445 >	4,673,126 <2,160,893 >

NO. EMPLOYEE FTES

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
 LEVEL 4 STATE AID FOR PUBLIC LIBRARY 23500
 LEVEL 5
 LEVEL 6

PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 010 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PROGRAM SPECIFIC DIST GENERAL REVENUE	1,964,448	1,964,448	1,964,448
TOTAL PROGRAM SPECIFIC	1,964,448	1,964,448	1,964,448
TOTAL DECISION ITEM	1,964,448	1,964,448	1,964,448

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 STATE AID TO STATE LIBRARIES		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK <u>001</u> OF <u>008</u>	
DECISION ITEM NO. <u>010</u>		

1.	STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed. A. Enhance information access (SOS strategic plan, page 10) - All Missouri citizens will have access to information resources through a local public library service - Missouri citizens will have access to high quality reference services to meet their information needs - Develop programs to provide library services in parts of Missouri that are not currently served by libraries - Electronically link libraries across the state in order to share library resources B. Promote the establishment and development of stronger libraries (SOS strategic plan, page 21) - Implement plans to address the needs of Missouri libraries for the next five years - Missouri citizens who live in areas that may fall below the average of the state will have improved library services - Improve public awareness of library services - Encourage the development of library services in areas of the state where there are currently no libraries
2.	EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem. Under state statutes, the General Assembly may appropriate funds for the support of public libraries. State aid is appropriated to libraries having a minimum voted tax or local government support equal to ten cents per \$100 of assessed valuation. Libraries receive funds on a per capita basis and determine how state funds will be used to serve people in their area. This funding will help libraries deal with increased costs of operations and materials and allow local libraries to address the needs of their clients.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 STATE AID TO STATE LIBRARIES		
LEVEL 4	DECISION ITEM RANK	001 OF 008
LEVEL 5	DECISION ITEM NO.	010

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

The Missouri State Library has established multiple goals, objectives, and strategies addressing the strategic issues affecting its responsibilities. Additional detail is provided in the SOS strategic plan. Selected high priority objectives for FY 1998 include:

Issue B - Promote the establishment and development of stronger libraries

- Work with the Secretary of State's Council on Library Development to develop a five-year plan to address the critical needs identified in public forums including making effective use of new technology, staff and trustee training, services in unserved areas, equity in library funding, public awareness of library services, literacy program and maintaining and expanding current statewide programs.
- Use priorities from the plan to develop the use of state aid funds.
- Improve the ability of libraries to provide broader access to library materials and to promote resource sharing among all libraries

4. **OUTCOME MEASURES** - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.

Public libraries with automation systems which meet current standards for interconnectivity and user friendliness

Public libraries in Missouri connected to the Internet.

Smaller public libraries have backup reference service for difficult or unusual questions they are unable to answer using their local reference materials.

Library staffs trained to use new information technologies effectively to meet needs of library users

Materials available for circulation in libraries

Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE BUDGET	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 STATE AID TO STATE LIBRARIES		
LEVEL 4	DECISION ITEM RANK <u>001</u> OF <u>008</u>	
LEVEL 5	DECISION ITEM NO. <u>010</u>	

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Numbers of materials accessed by library patrons				
Number of interlibrary loan requests				
New materials purchased				
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. Core budget request - There were no one-time costs for FY 1997.				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
 LEVEL 4 STATE AID FOR PUBLIC LIBRARY 23500
 LEVEL 5
 LEVEL 6

PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 005
 DECISION ITEM NO. 032 NAME: INCREASE STATE AID TO LIBRARY

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PROGRAM SPECIFIC DIST GENERAL REVENUE		2,708,678	196,445
TOTAL PROGRAM SPECIFIC		2,708,678	196,445
TOTAL DECISION ITEM		2,708,678	196,445

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: INCREASE STATE AID TO PUBLIC LIBRARIES	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIBRARY DEVELOPMENT DIVISION		
LEVEL 4	DECISION ITEM RANK	005 OF 008
LEVEL 5	DECISION ITEM NO.	032

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

A. Promote the establishment and development of stronger public library services (SOS strategic plan, page 21)

- All Missouri citizens will have access to adequate library services. Missouri citizens who live in areas which have difficulty funding libraries and which fall behind the average of the state will receive additional assistance

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

The Missouri Constitution establishes as policy the promotion and establishment of free public libraries, and cites an obligation for their support by the state. The state appropriates funds to public libraries as state aid. Funding has remained at the same level for three years and provides only very modest support of library services. Missouri needs to do better.

Public libraries in Missouri are funded through property taxes and are limited through reassessment and rollback to small growth factors. Boards of trustees approve the use of funds to meet the highest local priorities. Local libraries depend on state aid to supplement their local funding for materials, equipment, and to implement new technology to improve services. The REAL project has provided public libraries with an Internet connection, but greater band width, internal equipment and ongoing service costs must be provided by the local library.

Currently, 49 public libraries serving 828,596 citizens have a per capita income level of less than \$10.00 (1995 data). The statewide per capita expenditure for library services is \$18.73. The national average is \$19.16 (1993 data). Citizens in economically depressed areas or those with a low tax base are in danger of becoming the information 'have nots.' They will be at a distinct disadvantage as the economy moves further into the information age.

State aid is currently distributed to all libraries according to a per capita formula. The statute also allows a portion of state aid to be awarded for equalization of library services. This request is to increase the rate for computing state aid to public libraries from the current \$.42 per capita to \$1.00 per capita.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1	OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: INCREASE STATE AID TO PUBLIC LIBRARIES	PAGE		
LEVEL 2	MISSOURI STATE LIBRARY				
LEVEL 3	LIBRARY DEVELOPMENT DIVISION				
LEVEL 4					
LEVEL 5		DECISION ITEM RANK	005	OF	008
		DECISION ITEM NO.	032		

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

- Objectives:
 - Increase the amount of state aid to public libraries
 - Provide funding to equalize support in areas with below average assessed valuation.
- Strategies:
 - Increase the rate for computing state aid to public libraries from \$.42 per capita to \$1.00 per capita. This increases state aid from \$1,964,448 to \$4,673,126
 - Identify libraries whose income falls below the state average of assessed valuation
 - Achieve a distribution that includes equalization. \$3,504,845 of state aid will be awarded on a per capita basis (\$.75 per capita) and the additional \$1,168,281 will be awarded to those districts which fall below the state average in assessed valuation.
 - Require libraries receiving equalization funds to report how these funds were targeted to improve library services

All public libraries will be encouraged to use state aid funding to purchase library materials, provide services and programs to their communities, implement new technology, and upgrade equipment to improve service levels.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Public libraries must complete a statistical report each year to qualify for state aid. Libraries report expenditures, number of visits to the library, reference transactions, circulation, and number of materials in their collections.				
1995 data:				
Number Of Library Materials: Total books, serials, audio and video recordings available for use by the public.	20,886,847	21,409,000	21,944,000	22,493,000
Library Materials Per Capita:	4.23	4.25	4.27	4.30
Library Visits: Each visit reflects a library use by a Missouri citizen.	20,144,184	20,849,000	21,579,000	22,334,000
Circulation: Indicates usage of materials	38,675,001	40,222,000	41,831,000	43,504,000
Reference Transactions: Information requests from citizens answered by libraries.	4,196,193	4,448,000	4,759,000	5,140,000

PROGRAM DECISION ITEM ANALYSIS FORM 5,

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: INCREASE STATE AID TO PUBLIC LIBRARIES	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIBRARY DEVELOPMENT DIVISION		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK <u>005</u> OF <u>008</u>	
DECISION ITEM NO.		<u>032</u>

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Eligible Libraries: Library districts certified to receive state aid.	165	166	166	166
State Aid Provided:	\$1,964,448	\$1,964,448	\$4,673,126	\$4,673,126
Per Capita Level:	\$.42	\$.42	\$1.00	\$1.00
FY 1998 per capita distribution (\$.75)			\$3,504,845	\$3,504,845
FY 1998 equalization distribution (\$.25)			\$1,168,281	\$1,168,281
Population Of Eligible Districts:	4,668,976	4,673,126	4,673,126	4,673,126

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.	
Program Specific Distribution	
\$4,673,126 (\$1,964,448)	Total FY 1998 state aid request calculated at \$1.00 per capita FY 1997 state aid funding, \$.42 per capita
\$2,708,678	Amount of FY 1998 requested increase
Distribution of Funds:	
\$3,504,845 <u>\$1,168,281</u> \$4,673,126	Per capita distribution, equal to \$.75 Equalization distribution
This is an on-going expense. All costs are General Revenue.	

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 STATE LIBRARY OPERATIONS
 LEVEL 4 FEDERAL AID FOR PUBLIC LIBRARY 23505
 LEVEL 5
 LEVEL 6

DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
 PAGE

	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	TOTAL
PROGRAM SPECIFIC DIST				
FEDERAL FUNDS	1,388,205	2,965,770	2,965,770 <2,965,770 >	2,965,770 <2,965,770 >
	-----	-----	-----	-----
TOTAL	1,388,205	2,965,770	2,965,770 <2,965,770 >	2,965,770 <2,965,770 >
GRAND TOTAL	1,388,205	2,965,770	2,965,770 <2,965,770 >	2,965,770 <2,965,770 >
	=====	=====	=====	=====
SOURCE OF FUNDS SUMMARY				
FEDERAL FUNDS	1,388,205	2,965,770	2,965,770 <2,965,770 >	2,965,770 <2,965,770 >
NO. EMPLOYEE FTES				

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LEVEL 1 SECRETARY OF STATE
LEVEL 2 STATE LIBRARY
LEVEL 3 STATE LIBRARY OPERATIONS
LEVEL 4 FEDERAL AID FOR PUBLIC LIBRARY 23505
LEVEL 5
LEVEL 6

(1) PROBLEM(S):

PROGRAM DECISION ITEM
FORM 5

GOVERNOR
PAGE

DECISION ITEM RANK 001
DECISION ITEM NO. 011 NAME: CORE REQUEST

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PROGRAM SPECIFIC DIST FEDERAL	2,965,770	2,965,770	2,965,770
TOTAL PROGRAM SPECIFIC	2,965,770	2,965,770	2,965,770
TOTAL DECISION ITEM	2,965,770	2,965,770	2,965,770

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 FEDERAL AID TO STATE LIBRARIES		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK	001 OF 008
DECISION ITEM NO.		011

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

A. Enhance information access (SOS strategic plan, page 10)

- All Missouri citizens will have access to information resources through a local public library service
- Missouri citizens will have access to high quality reference services to meet their information needs
- Develop programs to provide library services in parts of Missouri that are not currently served by libraries
- Electronically link libraries across the state in order to share library resources

B. Promote the establishment and development of stronger libraries (SOS strategic plan, page 21)

- Implement plans to address the needs of Missouri libraries for the next five years
- Missouri citizens who live in areas that may fall below the average of the state will have improved library services
- Improve public awareness of library services
- Maintain current statewide programs of service to libraries
- Encourage the development of library services in areas of the state where there are currently no libraries

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the continued support of library services for state residents through use of Federal funding. These funds are made available under the Library Services and Construction Act (LSCA), which expired on September 30, 1996, and the Library Services and Technology Act (LSTA) which was signed into law beginning October 1, 1996. The Missouri State Library is the designated agency charged with administering these funds. Funds are used for statewide programs and for grants to local libraries.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE		
LEVEL 2 MISSOURI STATE LIBRARY				
LEVEL 3 FEDERAL AID TO STATE LIBRARIES				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	001	OF	008
		DECISION ITEM NO.	011	

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. STRATEGIES - How will the objective be accomplished? The Missouri State Library has established multiple goals, objectives, and strategies addressing the strategic issues affecting its responsibilities. Additional detail is provided in the SOS strategic plan. Selected high priority objectives for FY 1998 include: Issue B - Promote the establishment and development of stronger libraries • Work with the Secretary of State's Council on Library Development to develop a five-year plan to address the critical needs identified in public forums including making effective use of new technology, staff and trustee training, services in unserved areas, equity in library funding, public awareness of library services, literacy program and maintaining and expanding current statewide programs. • Use priorities from the plan to develop the annual program for the use of federal funds. • Use priorities from the plan to direct annual plans for staff of the Missouri State Library.				
4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. Public libraries with automation systems which meet current standards for interconnectivity and user friendliness Public libraries in Missouri connected to the Internet. Smaller public libraries have backup reference service for difficult or unusual questions they are unable to answer using their local reference materials. Library staffs trained to use new information technologies effectively to meet needs of library users	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE BUDGET	PAGE _____
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 FEDERAL AID TO STATE LIBRARIES		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		011

5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Federal grants distributed				
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail. Core budget request - There were no one-time costs for FY 1997. This is an Estimated Appropriation.				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
 LEVEL 4
 LEVEL 5
 LEVEL 6

23508

DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
 PAGE

	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	2 / 8 WITHIN GRADE	4 / 8 CIRCULATION CLERKS	TOTAL
PERSONAL SERVICES						
GENERAL REVENUE	378,425	406,851	407,616	16,305		423,921
			<412,802 >	<16,305 >		<429,107 >
FEDERAL FUNDS					64,638	64,638
					<64,638 >	<64,638 >
TOTAL	378,425	406,851	407,616	16,305	64,638	488,559
			<412,802 >	<16,305 >	<64,638 >	<493,745 >
EXPENSE AND EQUIPMENT						
GENERAL REVENUE	137,472	163,081	93,172			93,172
			<93,172 >			<93,172 >
FEDERAL FUNDS	32,578	44,000	44,000			44,000
			<44,000 >			<44,000 >
SEC ST-WOLFNER		75,000	75,000			75,000
			<75,000 >			<75,000 >
TOTAL	170,050	282,081	212,172			212,172
			<212,172 >			<212,172 >
GRAND TOTAL	548,475	688,932	619,788	16,305	64,638	700,731
	=====	=====	<624,974 >	<16,305 >	<64,638 >	<705,917 >
SOURCE OF FUNDS SUMMARY						
GENERAL REVENUE	515,897	569,932	500,788	16,305		517,093
			<505,974 >	<16,305 >		<522,279 >
FEDERAL FUNDS	32,578	44,000	44,000		64,638	108,638
			<44,000 >		<64,638 >	<108,638 >
SEC ST-WOLFNER		75,000	75,000			75,000
			<75,000 >			<75,000 >
NO. EMPLOYEE FTES	18.33	18.50	18.50		4.50	23.00
			<18.50>		<4.50>	<23.00>

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
 LEVEL 4
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 012 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE	406,851	407,616	412,802
TOTAL PERSONAL SERVICE	406,851	407,616	412,802
EXPENSE & EQUIPMENT			
GENERAL REVENUE	163,081	93,172	93,172
FEDERAL	44,000	44,000	44,000
SEC ST-WOLFNER	75,000	75,000	75,000
TOTAL EXPENSE & EQUIP	282,081	212,172	212,172
TOTAL DECISION ITEM	688,932	619,788	624,974
NO. EMPLOYEE FTE	18.50	18.50	18.50

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 WOLFNER LIBRARY FOR THE BLIND		
LEVEL 3		
LEVEL 4	DECISION ITEM RANK	001 OF 008
LEVEL 5	DECISION ITEM NO.	012

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

The Wolfner Library for the Blind and Physically Handicapped of the Office of Secretary of State has identified five strategic issues and corresponding goals that affect its core delivery of services. These include:

- A. Provide quality customer service (SOS strategic plan, page 9)
 - Deliver responsive and timely service to meet increasing demand from patrons.
 - Emphasize courtesy and mutual respect to all customers.
- B. Effectively utilize information technology (SOS strategic plan, page 15)
 - Upgrade and maintain automated systems to improve the library's capability of circulating materials and sharing information.
- C. Human resource management and development (SOS strategic plan, page 18)
 - Develop and maintain the best mix of skill sets to support Wolfner Library services.
 - Improve staff automation skills.
 - Continue efforts to cross train staff to ensure continuous service.
- D. Enhance access for the disabled to information services (SOS strategic plan, page 19)
 - Improve access to public information for Missourians with disabilities.
 - Expand access to information for persons unable to use standard print by providing materials in accessible formats.
- E. Provide stronger public library services (SOS strategic plan, page 21)
 - Develop the library to provide both traditional and new services based on electronic technologies for the people who cannot use print.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 WOLFNER LIBRARY FOR THE BLIND		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		012

2. EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

This core request represents resources for the operation of the Wolfner Library program, including:

- Circulating, maintaining and housing all library materials and equipment efficiently. This relates to strategic issues A, B, and C. Priority outcomes for FY 1998 include:
 - Reduction of the processing backlog of materials returned to the library
 - Increasing the circulation of materials on-hand
- Providing reference and research services, as well as children's programming, interlibrary loan, descriptive videos, and other support services to patrons. This relates to strategic issues A, B, C, D, and E. Priority outcomes for FY 1998 include:
 - Increasing the number of materials utilized
 - Identifying and providing services to eligible Missouri citizens

Not funding this core budget request will deny Missourians of all ages with print disabilities access to information needed to support their lives.

3. OBJECTIVES - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

Selected high priority objectives and strategies include:

- Objective #1: Expand Wolfner services to more of the eligible population
Strategy: Develop and implement a continuous public awareness plan.
- Objective #2: Ensure adequate operational resources for service delivery
Strategy: Work with policy makers to ensure funding for adequate supplies, postage, telephone, automation and materials resources.
- Objective #3: Expand access for disabled to library materials in non-print formats.
Strategy: Upgrade technology.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 WOLFNER LIBRARY FOR THE BLIND		
LEVEL 3		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK	001 OF 008
DECISION ITEM NO.		012

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Percentage of eligible persons with disabilities registered to use library.	14%	15%	16%	17%
Percentage of registered library patrons actively using library.	92%	93%	94%	95%
Reduction in incoming materials backlog (books needing inspection)	7500 book backlog	7500 book backlog	7500 book backlog	7500 book backlog
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Materials checked out.	500,000	600,000	700,000	800,000
Materials checked in and inspected.	500,000	600,000	700,000	800,000
New patrons registered.	1,200	1,500	1,800	2,100
6. COST EXPLANATION - Describe the <u>detailed</u> calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.				
Core Budget Request. One-time costs provided in FY 1997 have been deducted from the core budget as follows:				
(\$69,144) GR Braille printer				

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 001
 DECISION ITEM NO. 012 NAME: CORE REQUEST

GOVERNOR
 PAGE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE		CURRENT YEAR FUNDED POSITIONS		BUDGET YEAR REQUEST		GOVERNOR RECOMMENDS	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
CLERK TYPIST I	1.50	22,500	2.00	31,342	2.00	31,176	2.00	31,176
CLERK TYPIST II	3.00	51,852	3.00	54,964	3.00	55,212	3.00	55,212
CLERK TYPIST III	1.00	20,210	1.00	19,080	1.00	19,044	1.00	19,044
COMPUTER INFO SPEC II					1.00	27,648	1.00	27,648
PART-TIME SUMMER	.33	3,485						
PART-TIME OTHER			.50	11,984				
DIRECTOR			1.00	41,730				
LIBRARIAN			3.00	85,068				
CLERK	.50	7,270	1.00	18,424	.50	7,812	.50	7,812
READER ADVISOR	4.00	76,680	4.00	81,271	4.00	82,764	4.00	82,764
CLERK I	1.00	17,376			1.00	18,384	1.00	18,384
CLERK II	1.00	15,072	1.00	15,976	1.00	15,948	1.00	15,948
CLERK III	1.00	21,804	1.00	23,107	1.00	23,064	1.00	23,064
LIBRARIAN	3.00	80,256			3.00	84,912	3.00	84,912
INFO SUPPORT COORD	1.00	22,548	1.00	23,905				
DIRECTOR-WOLFNER LIBRARY	1.00	39,372			1.00	41,652	1.00	41,652
FUND SUBTOTAL								
GEN REV FUND	18.33	378,425	18.50	406,851	18.50	407,616	18.50	407,616
FORM 6 SUBTOTAL	18.33	378,425	18.50	406,851	18.50	407,616	18.50	407,616
FLEXIBLE BENEF								
GEN REV FUND								1,110
COST OF LIVING								
GEN REV FUND								4,076
TOTAL DECISION								
GEN REV FUND	18.33	378,425	18.50	406,851	18.50	407,616	18.50	412,802
GRAND TOTAL	18.33	378,425	18.50	406,851	18.50	407,616	18.50	412,802

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
 LEVEL 4
 LEVEL 5
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EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 012 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
TRAVEL AND VEHICLE EXPENSE	4,077	7,000	7,000	7,000
OFFICE EXPENSE	17,800	19,000	18,750	18,750
OFFICE & COMM EQUIP PURCHASE	941	178,225	109,081	109,081
COMMUNICATIONS EXPENSE	14,856	32,500	32,250	32,250
INST AND PHYS PLANT EXPENSE	45,658	10,000	10,000	10,000
DATA PROC EXPENSE & EQUIPMENT	84,837	32,356	32,091	32,091
PROFESSIONAL SERVICES	42	1,000	1,000	1,000
OTHER EXPENSES	1,839	2,000	2,000	2,000
TOTAL EQUIPMENT	170,050	282,081	212,172	212,172
SOURCE OF FUND SUMMARY				
GEN REV FUND	137,472	163,081	93,172	93,172
FEDERAL FUND	32,578	44,000	44,000	44,000
SEC ST-WOLFNER		75,000	75,000	75,000
GRAND TOTAL	170,050	282,081	212,172	212,172

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
 LEVEL 4
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 002
 DECISION ITEM NO. 023 NAME: WITHIN GRADE

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE			
GENERAL REVENUE		16,305	16,305
TOTAL PERSONAL SERVICE		16,305	16,305
TOTAL DECISION ITEM		16,305	16,305

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE
LEVEL 2 WOLFNER LIBRARY		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK <u>002</u> OF <u>008</u>		
DECISION ITEM NO. <u>023</u>		

1.	STRATEGIC ISSUE AND REFERENCE - Summarize the strategic issue. Reference to strategic plan (page number). GOALS - In what direction does the agency want to be headed.
The Wolfner Library has identified the following strategic issue and goals that affect its delivery of services. A. Human resource management and development (SOS Plan, page 18) - Reward quality performance and professionalism - Maintain a competitive compensation program	
2.	EXPLANATION, RATIONALE, AND OUTCOMES - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.
The Office of the Secretary of State employs the services of over 250 individuals in order to perform its statutory obligations to provide services to the citizens of the state of Missouri. To attract and retain quality personnel with the required skills, this office must offer compensation comparable to private employment and which keeps pace with inflationary living costs. Therefore, a 4% within grade increase is requested for all employees. This will allow the office to maintain the high level of service expected from the Office of the Secretary of State.	

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF THE SECRETARY OF STATE	NAME OF DECISION ITEM: WITHIN GRADE	PAGE		
LEVEL 2 WOLFNER LIBRARY				
LEVEL 3				
LEVEL 4				
LEVEL 5	DECISION ITEM RANK	002	OF	008
		DECISION ITEM NO.	023	

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

Provide a 4% within grade salary increase for all employees beginning on July 1, 1997.

4. **OUTCOME MEASURES** - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.

Personnel of the Office of the Secretary of State will:

- Have appropriate skills
- Improve and expand public services
- Continue in state government service

Fiscal Year
1996

Fiscal Year
1997

Fiscal Year
1998

Fiscal Year
1999

5. **OUTPUT MEASURES** - Identify and quantify the services to be provided.

Fiscal Year
1996

Fiscal Year
1997

Fiscal Year
1998

Fiscal Year
1999

Current level of services will be maintained

6. **COST EXPLANATION** - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

The within grade request was determined by taking the FY 1997 personnel services core and increasing it by 4%

<u>Fund</u>	<u>FY 1997 PS Core</u>	<u>Within Grade Increase</u>
General Revenue	\$407,616	\$16,305

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
 LEVEL 4
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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 002
 DECISION ITEM NO. 023 NAME: WITHIN GRADE

GOVERNOR
 PAGE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE AMOUNT	BUDGET YEAR REQUEST FTE AMOUNT	GOVERNOR RECOMMENDS FTE AMOUNT
CLERK TYPIST I			2.00 1,247	2.00 1,247
CLERK TYPIST II			3.00 2,209	3.00 2,209
CLERK TYPIST III			1.00 762	1.00 762
COMPUTER INFO SPEC II			1.00 1,106	1.00 1,106
CLERK			.50 312	.50 312
READER ADVISOR			4.00 3,311	4.00 3,311
CLERK I			1.00 735	1.00 735
CLERK II			1.00 638	1.00 638
CLERK III			1.00 923	1.00 923
LIBRARIAN			3.00 3,396	3.00 3,396
DIRECTOR WOLFNER LIBRARY			1.00 1,666	1.00 1,666
FUND SUBTOTAL			18.50 16,305	18.50 16,305
GEN REV FUND			18.50 16,305	18.50 16,305
FORM 6 SUBTOTAL			18.50 16,305	18.50 16,305
TOTAL DECISION			18.50 16,305	18.50 16,305
GEN REV FUND			18.50 16,305	18.50 16,305
GRAND TOTAL			18.50 16,305	18.50 16,305

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
 LEVEL 4
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 004
 DECISION ITEM NO. 030 NAME: LIBRARY CIRCULATION CLERKS

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
PERSONAL SERVICE FEDERAL		64,638	64,638
TOTAL PERSONAL SERVICE		64,638	64,638
TOTAL DECISION ITEM		64,638	64,638
NO. EMPLOYEE FTE		4.50	4.50

6. PERFORMANCE MEASURE:

18.5
 4.5
 23.0

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: LIBRARY CIRCULATION CLERKS	PAGE		
LEVEL 2 WOLFNER LIBRARY FOR THE BLIND				
LEVEL 3				
LEVEL 4				
LEVEL 5				
DECISION ITEM RANK		004	OF	008
DECISION ITEM NO.		030		

- STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.
 - Provide quality customer service (SOS strategic plan, page 9)
 - Increase customer awareness of Wolfner Library services and extend services to the eligible population
 - Provide access for the disabled to information services (SOS strategic plan, page 19)
 - Identify the information needs of the blind and physically handicapped and provide information services compatible with their circumstances.
- EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

Missouri has a substantial number of citizens who are disabled and cannot utilize information services or read using traditional formats. The staff of Wolfner library identifies their needs and provides information and materials compatible with their circumstances. Currently, 14,500 Missourians use the services of the Wolfner Library. However, current estimates indicate that there are 80,000 to 100,000 additional Missourians not using Wolfner who are eligible for the service, due to having a physical disability preventing them from using standard print resources. The library is making significant efforts in public education to reach this under-served population, but will have difficulties in delivering quality library service if adequate staffing is not also provided.

For the past seven years, temporary staff have been used continuously to bolster the inadequate staffing and to provide daily, routine circulation of books and magazines to the existing clientele. However, due to low pay and no benefits, these temporaries experience high rates of turnover and sometimes it is difficult to obtain enough personnel to meet the needs of the library. When library use expands, as it is obligated to serve all eligible children, adults, and institutions, the current level of staffing will be insufficient to maintain existing services and will be unable to provide services to an increased clientele.

This request is to convert the temporary staffing into 4.50 full-time FTE positions.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: LIBRARY CIRCULATION CLERKS	PAGE _____
LEVEL 2 WOLFNER LIBRARY FOR THE BLIND		
LEVEL 3		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		004 OF 008
DECISION ITEM NO.		030

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

These objectives support both of the strategic issues listed above..

- Objectives:
 - Provide adequate library and information services to all eligible physically handicapped citizens of Missouri
 - Increase circulation of Wolfner Library resources
 - Comply with minimum personnel standards established for libraries serving blind and physically handicapped individuals
- Strategies:
 - Convert current temporary staff to 4.50 FTE of permanent staff
 - Increase Wolfner staff to adequately deliver library services to clientele
 - Circulate more materials continuously by having permanent, dependable and continuous staffing.
 - Work with policy makers to develop and implement a plan to continue to increase permanent Wolfner Library staffing.

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Number of times per week that Braille books and magazines are circulated	once	once	once	once
Time needed for materials to be checked out and in the mail, from point of request	4 days	4 days	4 days	4 days
Time needed to inspect incoming books for damage	5 days	5 days	5 days	5 days
5. OUTPUT MEASURES - Identify and quantify the services to be provided.	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
Annual circulation of library resources	550,000	600,000	750,000	1,000,000
Annual inspection of library resources	450,000	500,000	700,000	800,000
Active library users	14,200	14,500	15,000	20,000

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 OFFICE OF SECRETARY OF STATE	NAME OF DECISION ITEM: LIBRARY CIRCULATION CLERKS	PAGE
LEVEL 2 WOLFNER LIBRARY FOR THE BLIND		
LEVEL 3		
LEVEL 4		
LEVEL 5	DECISION ITEM RANK <u>004</u> OF <u>008</u>	
DECISION ITEM NO. <u>030</u>		

6. COST EXPLANATION - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

Personnel Services

(4.50) x Clerk I (Range 6, step C, \$14,364 each) \$64,638

No expense and equipment is required for these positions since work station are already established for temporary personnel.

Costs are Federal Funds.

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 WOLFNER LIBRARY
 LEVEL 4
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PERSONAL SERVICES
 FORM 6

DECISION ITEM RANK 004
 DECISION ITEM NO. 030

NAME: LIBRARY CIRCULATION CLERKS

GOVERNOR
 PAGE

PARS CLASSIFICATION	PRIOR YEAR ACTUAL EXPENDITURE FTE AMOUNT	CURRENT YEAR FUNDED POSITIONS FTE AMOUNT	BUDGET YEAR REQUEST FTE AMOUNT	GOVERNOR RECOMMENDS FTE AMOUNT
CLERK I			4.50 64,638	4.50 64,638
FUND SUBTOTAL				
FEDERAL FUND			4.50 64,638	4.50 64,638
FORM 6 SUBTOTAL			4.50 64,638	4.50 64,638
TOTAL DECISION				
FEDERAL FUND			4.50 64,638	4.50 64,638
GRAND TOTAL			4.50 64,638	4.50 64,638

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 LIFT LITERACY PROGRAM
 LEVEL 4
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DECISION ITEM FINANCIAL SUMMARY
 FORM 4

GOVERNOR
 PAGE

	PRIOR YEAR EXPENDITURES	CURRENT YEAR EXPENDITURES	1 / 8 CORE REQUEST	TOTAL
EXPENSE AND EQUIPMENT				
GENERAL REVENUE	69,450	29,450	29,450	29,450
FEDERAL FUNDS	25,157	1,511	<29,450 >	<29,450 >
TOTAL	94,607	30,961	29,450 <29,450 >	29,450 <29,450 >
PROGRAM SPECIFIC DIST				
GENERAL REVENUE		40,000	40,000	40,000
FEDERAL FUNDS		160,000	<40,000 >	<40,000 >
TOTAL		200,000	40,000 <40,000 >	40,000 <40,000 >
GRAND TOTAL	94,607	230,961	69,450 <69,450 >	69,450 <69,450 >
SOURCE OF FUNDS SUMMARY				
GENERAL REVENUE	69,450	69,450	69,450	69,450
FEDERAL FUNDS	25,157	161,511	<69,450 >	<69,450 >

NO. EMPLOYEE FTES

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 LIFT LITERACY PROGRAM
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PROGRAM DECISION ITEM
 FORM 5

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 013 NAME: CORE REQUEST

(1) PROBLEM(S):

5. COST SUMMARY

BUDGET CLASS/FUND	CURRENT YEAR EXPENDITURES	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
EXPENSE & EQUIPMENT			
GENERAL REVENUE	29,450	29,450	29,450
FEDERAL	1,511		
TOTAL EXPENSE & EQUIP	30,961	29,450	29,450
PROGRAM SPECIFIC DIST			
GENERAL REVENUE	40,000	40,000	40,000
FEDERAL	160,000		
TOTAL PROGRAM SPECIFIC	200,000	40,000	40,000
TOTAL DECISION ITEM	230,961	69,450	69,450

6. PERFORMANCE MEASURE:

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIFT LITERACY PROGRAM		
LEVEL 4	DECISION ITEM RANK	001 OF 008
LEVEL 5	DECISION ITEM NO.	013

1. **STRATEGIC ISSUE AND REFERENCE** - Summarize the strategic issue. Reference to strategic plan (page number). **GOALS** - In what direction does the agency want to be headed.

A. Strengthen Missouri's public libraries (SOS strategic plan, page 21)

Literacy is the link to issues such as successfully moving people off welfare and into jobs, helping parents ensure their children are ready for school, and breaking the intergenerational cycle of poverty and under education.

LIFT-Missouri has been the state's literacy resource center since 1992. LIFT's mission is to develop and promote resources to increase the literacy skills of Missourians so that all individuals can reach their personal and economic potential.

2. **EXPLANATION, RATIONALE, AND OUTCOMES** - Define and describe the problem in specific terms. How is this decision item related to the strategic issue? What outcomes are being pursued? Describe the positive impact funding this decision item will have on the problem. Describe the negative impact not funding this item will have on the problem.

Literacy statistics show...

- 40% of adults in Missouri score in the lowest two levels of literacy; many of these adults are considered functionally illiterate
- 950,000 Missourians age 16 and older (28%) do not have a high school diploma.
- An adult without a high school diploma earns 42% less than an adult with a high school diploma.
- 31% of Missouri's high school students dropped out in 1995.
- Almost half of AFDC mothers do not have a high school diploma.
- Children who live in homes with unemployed adults who have not completed high school are six times more likely to become dropouts.

LIFT, as the state's literacy resource center, works to improve the above statistics by stimulating the coordination of literacy services, providing training and technical assistance to literacy programs throughout the state, and by providing technical and policy assistance to state and local government agencies to improve literacy policies, practices and access to services.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIFT LITERACY PROGRAM		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		013

3. **OBJECTIVES** - Describe what will be done, how much will be accomplished, and the timetable for measurement. **STRATEGIES** - How will the objective be accomplished?

- OBJECTIVE 1:** Provide quality resources, professional development and technical assistance for literacy programs and related agency personnel.

The partnership with the National Literacy Network (including the National Institute for Literacy, the National Center for Family Literacy and the U.S. Dept. of Education, among others) brings a wealth of information on literacy from a national perspective to Missouri practitioners.

Among the resources available to education professionals and volunteers through LIFT are: current research and statistics, model program information, innovative curricula, student assessment strategies, program evaluation techniques, and "best practices" in the literacy field.

LIFT will provide basic family literacy training for 120 adult and early childhood teachers, and advanced training for 30 family literacy coordinators. In addition, teleconferences and workshops will be held throughout the year on topics important to the literacy community.

LIFT will provide technical assistance to programs and agencies, providing additional support for establishing and maintaining quality literacy programs across the state.
- OBJECTIVE 2:** Develop and expand interagency collaborations to maximize the resources of agencies focusing on literacy and literacy-related issues (welfare reform, workforce development).

LIFT will continue its efforts with agencies involved in workforce development to plan a system based on the needs of customers. This interagency group has met quarterly during 1996, and has developed an initial strategy to streamline the provision of services to adult literacy students.

LIFT will oversee the implementation of a pilot project, developed by the Workforce Development panel, to help low-literate people gain basic academic skills, pre-employment skills, and to upgrade employment skills.

LIFT will conduct training sessions to educate agency personnel in the advantages of family literacy programs for certain welfare clients.
- OBJECTIVE 3:** Expand the use of technology by adult educators and adult learners.

LIFT will provide training to adult educators in using the Internet to increase their ability to teach low-literate adults the skills they need to use this tool.

LIFT will use distance learning technologies to increase the potential audience for national literacy-related teleconferences and making training opportunities available for adult educators using two-way audio/visual technologies.

Increase literacy information available electronically by adding more LIFT-produced literacy information to the current LIFT web site. Also, make literacy resources available from national sources easier to obtain.

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIFT LITERACY PROGRAM		
LEVEL 4		
LEVEL 5		
DECISION ITEM RANK		001 OF 008
DECISION ITEM NO.		013

4. OUTCOME MEASURES - Identify and quantify proposed outcome measures that will measure success. Note other budget items or assumptions affecting these outcomes. - widespread use of resource available on-site at LIFT; - increased enrollment of FUTURES clients into family literacy programs; - increased participation in family literacy training sessions - increased use of LIFT's web site and related information - expansion of workforce development panel pilot project	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
5. OUTPUT MEASURES - Identify and quantify the services to be provided. - family literacy basic implementation training (attendees); - family literacy advanced coordinator training (attendees); - technical assistance visits (sites); - distance learning workshops - Internet basic training - LIFT newsletter distribution (2 publications)	Fiscal Year 1996	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999
	120	120 expected	180 expected	
	30	30 expected	45 expected	
	25	40 expected	40 expected	
	0	4 expected	4 expected	
	0	4 expected	4 expected	
	4000	4000 expected	4000expected	

PROGRAM DECISION ITEM ANALYSIS FORM 5

LEVEL 1 SECRETARY OF STATE	NAME OF DECISION ITEM: CORE REQUEST	PAGE
LEVEL 2 MISSOURI STATE LIBRARY		
LEVEL 3 LIFT LITERACY PROGRAM		
LEVEL 4	DECISION ITEM RANK	001 OF 008
LEVEL 5	DECISION ITEM NO.	013

6. **COST EXPLANATION** - Describe the detailed calculations and assumptions used to derive this request, including breakdown and justification for any splits between funds. Identify data sources. Identify one-time costs in detail.

- Resource Expansion:
 - Purchase, evaluation and dissemination of print materials \$10,000
 - Purchase adult education software \$3,500
- Professional Development:
 - Distance Learning Workshops
 - 4 workshops @ \$75 /hour/site X 5 sites X 3 hours \$4,500
 - Presenters' fees \$4,000
 - 5 facilitators X \$25 /hour X 3 hours X 4 workshops \$1,500
 - LIFT project management—publicity, materials \$5,000
- Technical Assistance:
 - 40 literacy sites X \$200 / site visit \$8,000
 - Travel \$1,050
- Internet Technology in Adult Education:
 - Internet basic Training Workshops
 - 4 trainers X \$550 / training \$2,200
 - 4 computer lab rentals X \$500 /lab \$2,000
 - 4 collateral materials X \$150 each \$600
 - 4 LIFT travels X \$300 each \$1,200
 - LIFT web site expansion
 - Cataloging LIFT resources \$10 /hour X 500 hours \$5,000
 - Software upgrades \$450
 - Web site updating, redesign \$15 /hour X 200 hours \$3,000
 - Internet Connection
 - Main connection, with 5 addresses \$100 /month X 12 months \$1,200
- Communication:
 - Family Literacy Focus Newsletter (6 issues) \$10,950
 - LIFTletter publication (to broader target audience) (2 editions) \$5,300

Total budget request \$69,450 GR

LEVEL 1 SECRETARY OF STATE
 LEVEL 2 STATE LIBRARY
 LEVEL 3 LIFT LITERACY PROGRAM
 LEVEL 4
 LEVEL 5
 LEVEL 6

23713

EXPENSE AND EQUIPMENT
 FORM 7

GOVERNOR
 PAGE

DECISION ITEM RANK 001
 DECISION ITEM NO. 013 NAME: CORE REQUEST

TITLE	PRIOR YEAR EXPENDITURE	CURRENT YEAR EXPENDITURE	BUDGET YEAR REQUEST	GOVERNOR RECOMMENDS
MISCELLANEOUS PROGRAMS	-----	30,961	29,450	29,450
TOTAL EQUIPMENT	-----	30,961	29,450	29,450
OTHER EXPENSES	94,607	-----	-----	-----
TOTAL EQUIPMENT	94,607	-----	-----	-----
SOURCE OF FUND SUMMARY				
GEN REV FUND	69,450	29,450	29,450	29,450
FEDERAL FUND	25,157	1,511		
GRAND TOTAL	94,607	30,961	29,450	29,450
	=====	=====	=====	=====

FORMS 8 & 9

Department:	Secretary of State
Level 2:	Missouri State Library
Level 3:	State Library Operations
Level 4:	

Federal Assistance Detail
Form 8

Page 1-LSTA

Section 33.220 RSMo requires a separate Form 8 for each federal grant or program. Requests for federal funds appropriations without a completed Form 8 will be returned to the agency for completion of necessary documentation.

OMB CATALOG NUMBER: STATE PLAN REQUIRED YES ☒ NO ☐ DATE: April 1, 1997 to cover 5 fiscal yrs	OMB CATALOG NAME: Library Services and Technology Act FEDERAL GRANTING AGENCY: Institute for Museum and Library Services STATE GRANTING AGENCY: Secretary of State - Missouri State Library	EXPIRATION DATE: Yearly Program (or) REAUTHORIZATION DATE: 2002
MATCH REQUIREMENTS: Federal share 66%, state share 34%. Mtnce of effort requirement - see attachment A	OBJECTIVES OF GRANT OR PROGRAM: See Attachment C	STATE DEPARTMENT'S PLAN IN THE EVENT OF EXPIRATION OR REDUCTION: Will Request General Revenue Pickup ☒ May Request General Revenue Pickup ☐ Will NOT Request General Revenue Pickup ☐ Comments: 14.9 FTE's are on this federal program
DESCRIPTION OF GRANT OR PROGRAM: See Attachment B		

PROPOSED SPENDING PLAN	Current Year		Budget Year Request		Estimated Out Year 1		Estimated Out Year 2		Estimated Out Year 3	
	State	Federal	State	Federal	State	Federal	State	Federal	State	Federal
Personal Service	\$591,578.00	\$424,432.00	\$615,241.00	\$441,409.00	\$646,003.00	\$463,479.00	\$646,003.00	\$463,479.00	\$646,003.00	\$463,479.00
Expense	\$398,781.00	\$133,574.00	\$461,281.00	\$133,574.00	\$484,345.00	\$140,253.00	\$484,345.00	\$140,253.00	\$484,345.00	\$140,253.00
Equipment										
(Attach List)										
Distribution										
Capital Imprvmnts.										
Fringe Benefits		\$121,090.00		\$125,934.00		\$132,231.00		\$132,231.00		\$132,231.00
Total Expenditures	\$990,359.00	\$679,096.00	\$1,076,522.00	\$700,917.00	\$1,130,348.00	\$735,963.00	\$1,130,348.00	\$735,963.00	\$1,130,348.00	\$735,963.00
FTE's	20.7	15.1	20.9	14.9	20.9	14.9	20.9	14.9	20.9	14.9

Department:	Secretary of State
Level 2:	Missouri State Library
Level 3:	Wolfner Operations
Level 4:	

Federal Assistance Detail
Form 8

Page 2-LSTA

Section 33.220 RSMo requires a separate Form 8 for each federal grant or program. Requests for federal funds appropriations without a completed Form 8 will be returned to the agency for completion of necessary documentation.

OMB CATALOG NUMBER:	OMB CATALOG NAME: Library Services and Technology Act	EXPIRATION DATE: Yearly Program (or)
STATE PLAN REQUIRED YES <u>X</u> NO <u> </u>	FEDERAL GRANTING AGENCY: Institute for Museum and Library Services	REAUTHORIZATION DATE: 2002
DATE: April 1, 1997 to cover 5 fiscal yrs	STATE GRANTING AGENCY: Secretary of State - Missouri State Library	STATE DEPARTMENT'S PLAN IN THE EVENT OF EXPIRATION OR REDUCTION:
MATCH REQUIREMENTS:	OBJECTIVES OF GRANT OR PROGRAM:	Will Request General Revenue Pickup <u> X </u>
Federal share 66%, state share 34%.	See Attachment C	May Request General Revenue Pickup <u> </u>
Mtnc of effort requirement - see attachment A		Will NOT Request General Revenue Pickup <u> </u>
DESCRIPTION OF GRANT OR PROGRAM:		Comments:
See Attachment B		

PROPOSED SPENDING PLAN	Current Year		Budget Year Request		Estimated Out Year 1		Estimated Out Year 2		Estimated Out Year 3	
	State	Federal	State	Federal	State	Federal	State	Federal	State	Federal
Personal Service	\$406,851.00		\$423,921.00	\$64,638.00	\$445,117.00	\$67,870.00	\$445,117.00	\$67,870.00	\$445,117.00	\$67,870.00
Expense	\$238,081.00	\$44,000.00	\$168,172.00	\$44,000.00	\$176,581.00	\$46,200.00	\$176,581.00	\$46,200.00	\$176,581.00	\$46,200.00
Equipment										
(Attach List)		\$60,000.00								
Distribution										
Capital Imprvmts.										
Fringe Benefits				\$18,441.00		\$19,363.00		\$19,363.00		\$19,363.00
Total Expenditures	\$644,932.00	\$104,000.00	\$592,093.00	\$127,079.00	\$621,698.00	\$133,433.00	\$621,698.00	\$133,433.00	\$621,698.00	\$133,433.00
FTE's	18.5		18.5	4.5	18.5	4.5	18.5	4.5	18.5	4.5

Department:	Secretary of State
Level 2:	Missouri State Library
Level 3:	Federal Aid to Libraries
Level 4:	

Federal Assistance Detail
Form 8

Page 3-LSTA

Section 33.220 RSMo requires a separate Form 8 for each federal grant or program. Requests for federal funds appropriations without a completed Form 8 will be returned to the agency for completion of necessary documentation.

OMB CATALOG NUMBER:	OMB CATALOG NAME: Library Services and Technology Act	EXPIRATION DATE: Yearly Program
STATE PLAN REQUIRED YES <u>X</u> NO ____	FEDERAL GRANTING AGENCY: Institute for Museum and Library Services	(or)
DATE: April 1, 1997 to cover 5 fiscal yrs	STATE GRANTING AGENCY: Secretary of State - Missouri State Library	REAUTHORIZATION DATE: 2002
MATCH REQUIREMENTS:	OBJECTIVES OF GRANT OR PROGRAM:	STATE DEPARTMENT'S PLAN IN THE
Federal share 66%, state share 34%.	See Attachment C	EVENT OF EXPIRATION OR REDUCTION:
Mtnce of effort requirement - see attachment A		Will Request General Revenue Pickup <u>X</u>
DESCRIPTION OF GRANT OR PROGRAM:		May Request General Revenue Pickup ____
See Attachment B		Will NOT Request General Revenue Pickup ____
		Comments:
		New legislation gives new flexibility in states

PROPOSED SPENDING PLAN	Current Year		Budget Year Request		Estimated Out Year 1		Estimated Out Year 2		Estimated Out Year 3	
	State	Federal	State	Federal	State	Federal	State	Federal	State	Federal
Personal Service										
Expense										
Equipment										
(Attach List)										
Distribution	\$1,964,448.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00
Capital Imprvmts.										
Fringe Benefits										
Total Expenditures	\$1,964,448.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00	\$4,673,126.00	\$2,284,025.00
FTE's										

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Attachment A

"SEC. 223. PAYMENTS; FEDERAL SHARE; AND MAINTENANCE OF EFFORT REQUIREMENTS.

"(a) PAYMENTS.—Subject to appropriations provided pursuant to section 214, the Director shall pay to each State library administrative agency having a State plan approved under section 224 the Federal share of the cost of the activities described in the State plan.

"(b) FEDERAL SHARE.—

"(1) IN GENERAL.—The Federal share shall be 66 percent.

"(2) NON-FEDERAL SHARE.—The non-Federal share of payments shall be provided from non-Federal, State, or local sources.

"(c) MAINTENANCE OF EFFORT.—

"(1) STATE EXPENDITURES.—

"(A) REQUIREMENT.—

"(i) IN GENERAL.—The amount otherwise payable to a State for a fiscal year pursuant to an allotment under this chapter shall be reduced if the level of State expenditures, as described in paragraph (2), for the previous fiscal year is less than the average of the total of such expenditures for the 3 fiscal years preceding that previous fiscal year. The amount of the reduction in allotment for any fiscal year shall be equal to the amount by which the level of such State expenditures for the fiscal year for which the determination is made is less than the average of the total of such expenditures for the 3 fiscal years preceding the fiscal year for which the determination is made.

"(ii) CALCULATION.—Any decrease in State expenditures resulting from the application of subparagraph

(B) shall be excluded from the calculation of the average level of State expenditures for any 3-year period described in clause (i).

"(B) DECREASE IN FEDERAL SUPPORT.—If the amount made available under this subtitle for a fiscal year is less than the amount made available under this subtitle for the preceding fiscal year, then the expenditures required by subparagraph (A) for such preceding fiscal year shall be decreased by the same percentage as the percentage decrease in the amount so made available.

"(2) LEVEL OF STATE EXPENDITURES.—The level of State expenditures for the purposes of paragraph (1) shall include all State dollars expended by the State library administrative agency for library programs that are consistent with the purposes of this subtitle. All funds included in the maintenance of effort calculation under this subsection shall be expended during the fiscal year for which the determination is made, and shall not include capital expenditures, special one-time project costs, or similar windfalls.

"(3) WAIVER.—The Director may waive the requirements of paragraph (1) if the Director determines that such a waiver would be equitable due to exceptional or uncontrollable circumstances such as a natural disaster or a precipitous and unforeseen decline in the financial resources of the State.

Attachment B

Description of Grant or Program

This program provides a base grant of \$340,000 to each state with an additional amount based on Missouri's population in relation to the population of all states. Funds are distributed to the state library agency who may spend either directly or through subgrants or cooperative arrangements at least 96% of the funds for:

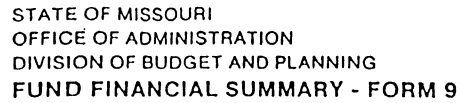
- establish or enhancing electronic linkages among or between libraries;
- electronically linking libraries with educational, social, or information services;
- assisting libraries in accessing information through electronic networks;
- encouraging libraries in different areas and encouraging different types of libraries to establish consortia and share resources;
- paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities including children (from birth through age 17) from families with incomes below the poverty line.

Attachment C

Objectives of Grant or Program:

It is the purpose of this program to (1) consolidate federal library service programs; (2) stimulate excellence and promote access to learning and information resources in all types of libraries for individuals of all ages; (3) promote library services that provide all users access to information through state, regional, national and international electronic networks; (4) provide linkages among and between libraries; and (5) promote targeted library services to peoples of diverse geographic, cultural and socio-economic backgrounds to individuals with disabilities and to people with limited functional literacy or information skills.

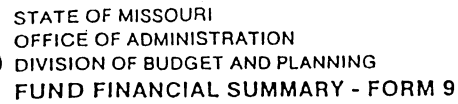
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